

### 3. BECOMING AN EDGAR FILER

#### 3.1 Getting Ready

To automate the process of submitting a Form ID application, the SEC has developed the EDGAR Filer Management Website (EFMW). At this website a potential filer can file the Form ID application, generate access codes (new/replacement), update a passphrase (required security code), convert from a paper only filer to an electronic filer, and obtain access codes for serial companies. You can access this website directly through its Uniform Resource Locator (URL): <https://www.filermanagement.edgarfiling.sec.gov> or through our EDGAR Gateway. The EDGAR Gateway allows you to navigate between the multiple EDGAR websites more easily. It is located at: <https://www.portal.edgarfiling.sec.gov>. It is strongly recommended that you bookmark this website or add it to the Favorites list in your browser.

This section describes the process that a new filer must follow to gain access to EDGAR. It also describes how to access the EDGAR Gateway and EFMW. For the EFMW, it covers the functionality that it provides, including how to create and submit a Form ID application electronically.

Before you can use the EDGAR system, you must submit a Form ID application to be accepted as an EDGAR filer. (Refer to Section 3.2, “New SEC Filer: Applying for EDGAR Access,” for more information. If you wish to create an Asset-Backed Securities Issuing Entity, refer to Section 3.4, “Creating an Asset Backed Securities Issuing Entity.”) An EDGAR filer can be a registrant, a third-party non-registrant filer, a transfer agent, a third-party agent filing for another individual or entity, or a training agent. EDGAR filers may send submissions on their own behalf or use a filing agent. Training agents may only send test submissions. **A duly authorized person, such as a partner, president, treasurer, corporate secretary, officer, or director, must sign the Form ID. Section 16 filers may have someone with their power of attorney sign the Form ID.** Filing agents such as financial printers cannot sign this Form on behalf of the issuer unless they are specifically authorized to do so in writing on behalf of the issuer or Section 16 filer. The documentation should accompany the Form ID.

As an applicant for EDGAR access codes, you must indicate whether you are a filer, filing agent, training agent, or any other applicant type. If you plan to file on EDGAR in more than one capacity, a separate Form ID must be completed and submitted for each capacity. For example, if you want to make EDGAR submissions as a registrant, and as a filing agent, and as a training agent, you must submit a separate Form ID for each filing capacity. You will receive three separate sets of CIKs and access codes.

It is mandatory to include the registrant’s Tax Identification Number (TIN) to establish domestic companies. This is for companies only, not individuals. If you do not have your TIN when you submit your initial Form ID, you may add it to the EDGAR database by going to the EDGAR Filing Website and adding it to your company’s information.

You must file your Form ID application electronically via the EDGAR Filer Management Website. A notarized authentication document must be attached to your Form ID application or your Convert Paper Only Filer to Electronic Filer application. Filers who are updating their passphrase must attach the required notarized documentation to their Update Passphrase request.

Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C. 1001.

Section 3.2, “New SEC Filer: Applying for EDGAR Access,” contains instructions on how to do this. You can print various EDGAR-related forms (e.g., Form TH, Form SE) from the [www.sec.gov](http://www.sec.gov) website. You can also request additional copies from the SEC’s Publications Office by calling (202) 551-4040, or by making a written request to the following address:

ATTN: Publications Branch  
US Securities and Exchange Commission  
Mail Stop L610  
100 F Street, NE  
Washington, DC 20549

You may contact Filer Support at (202) 551-8900 if you require additional information.

After we accept your Form ID application, you will receive instructions on how to obtain the following four access codes:

- CIK – Central Index Key:

The CIK is a number that we assign to each entity that submits filings to us. Use of the CIK allows us to differentiate between filing entities with similar names. A CIK is used to identify all filers, both EDGAR and non-EDGAR. Individuals should use their own CIK number and password each time they logon to EDGAR, even if their filings relate to different registrants.

Using the CIK to Login and Identify Submitter Registrants:

The CIK is the one EDGAR access code that is available to the public. In EDGAR, the CIK is used with a password for login identification (sometimes referred to as a login CIK). This identifies the submitter, which could be a registrant, a non-registrant, a filing agent, or a training agent. The CIK is also used with the CCC in submission headers to identify the registrant. The CIK is a permanent identifier; you may not change it. You can login to EDGAR using any valid CIK-password combination. The login CIK will be part of the unique identifier for the submission.

- CCC – CIK Confirmation Code:

The CCC is a code of eight characters having at least one number (0-9) and at least one special character (@, #, \$, \*). The CCC is case-sensitive and you must use it exactly as created, either in upper or lower case. Because the CCC is case-sensitive, if you use lower case letters when the CCC is created or changed, you must use lower case letters when entering the CCC in submission headers. To avoid confusion, we do not use the number 1 (one), the lower-case letter “l” (el), the number 0 (zero), or the capital letter O (oh) in assigning codes. We suggest that you also avoid using these numbers and letters when changing your CCC. You will need both a CIK and its corresponding CCC to submit a filing.

## Releasing the CCC To Filing Agents and Financial Printers:

If you use a filing agent, you may release the CCC to your agent because you must include a CCC in your submission. When a third-party agent submits a filing for you, the agent uses its own login CIK and password to establish authorization to make a submission. However, the agent must use your CIK and CCC in your submission in order to identify you as the entity for which the submission is being made.

## Changing Your CCC:

We recommend that you change your CCC after a third-party filing agent has used it for a submission on your behalf. This will prevent the filing agent from inadvertently making unauthorized filings using your access codes. (This can occur if a filing agent does not carefully check the codes it uses in a filing prior to submitting it). You may also want to change your CCC for security purposes. You will find procedures for changing the CCC in Chapter 4, “Generating EDGAR Access Codes.”

- Password:

The password is a code of eight characters having at least one number (0-9) and at least one special character (@, #, \$, \*). The password is case-sensitive and you must use it exactly as created, either in upper or lower case. You use it in combination with a CIK to identify the entity making a submission. This entity may be you, or a filing agent, or the law firm who files on your behalf. Since a CIK is public information, a second, confidential code is necessary to ensure that whoever is sending a submission to EDGAR is authorized to do so. You must enter both a CIK and a password to access EDGAR. The CIK is public and you may give it and the CCC to your agent to make submissions on your behalf, but you should hold the password in strictest confidence.

## Changing Your Password:

We encourage you to change your password frequently, at least annually. You will find procedures for changing a password in Chapter 4, “Generating EDGAR Access Codes.” To change a password, you must use a Password Modification Authorization Code (PMAC). **Your password will expire 12 months after it was created or last changed.** If you are locked out of EDGAR because your password has expired, you may generate a new set of EDGAR access codes (PMAC, password, CCC) via the EDGAR Filer Management Website using your passphrase. If you have also forgotten your passphrase, you must request a new passphrase (also via the EDGAR Filer Management Website) before you can generate a new password. A request for a new passphrase must be accompanied by authentication documentation, and it must be accepted by the SEC, so be sure to keep your password up to date. (Refer to Section 4.1, “Generating All EDGAR Access Codes,” for instructions on how to generate a new set of EDGAR access codes and how to request a new passphrase.)

## PMAC – Password Modification Authorization Code:

You must use the PMAC to authorize a change of password. The PMAC is a code of eight characters having at least one number (0-9) and at least one special character (@, #, \$, \*). The PMAC is case-sensitive and you must enter it exactly as created. It is a very private code, and only one or two persons in an organization should know this code. If you misplace or have forgotten your PMAC, you may generate a new set of EDGAR access codes (CCC, password, PMAC) via the EDGAR Filer Management Website (<https://www.filermanagement.edgarfiling.sec.gov>) using your passphrase. The CIK is public and you may give it and the CCC to your agent to make submissions on your behalf, but you should hold the PMAC in strictest confidence.

Part of the process of submitting an electronic Form ID application is to specify an EDGAR passphrase.

- **Passphrase:**

The passphrase is used to generate a set of EDGAR access codes (PMAC, password, CCC). The passphrase follows the PMAC formatting and usage rules (see PMAC). Because it can be used to generate the EDGAR access codes, the passphrase is a very sensitive code that should be strictly controlled. Access to it within your organization should be extremely limited. As mentioned previously, requesting a new passphrase must be done via the EDGAR Filer Management Website, it must be accompanied by manually signed and notarized authentication documentation, and it must be accepted by the SEC. (Refer to Section 4.1, “Generating All EDGAR Access Codes,” for instructions on how to generate a new set of EDGAR access codes and how to request a new passphrase.)

**The SEC does not keep these codes on file.** It is the responsibility of the individual designated as the Contact for EDGAR on the Form ID to provide these codes to the EDGAR filing parties, and to keep the codes secure. Section 16 filers must provide their EDGAR codes to their EDGAR contact at each of the companies for which they are insiders if the companies are going to file on their behalf. Only ONE set of EDGAR codes will be valid for each individual, so it is essential that all relevant companies be given the codes. Only one Form ID should be submitted for a registrant or an individual applicant.

**Note:** To protect the integrity and security of the data you send, you must limit the number of people who know your CCC, password, and PMAC.

### 3.1.1 Accessing the EDGAR Gateway

Any potential filer can access any of the EDGAR websites by using the EDGAR Gateway into the EDGAR system. Please execute the following procedure:

1. Connect to the Internet.
2. Go to the EDGAR Gateway.

<https://www.portal.edgarfiling.sec.gov>

The EDGAR Gateway page appears (see Figure 3-1: EDGAR Gateway Page).

This page functions as a gateway to all EDGAR websites. Additionally, this page provides links to download the Filer Manual, read up on the latest SEC regulatory activity, and view guidance for filers and FAQs. Therefore, we recommend that you bookmark this page or add it to the Favorites list in your browser.

3. Read the questions and determine which one identifies what you want to accomplish. If you are a new filer, click the link that says, ‘Would you like to become a new filer or generate new access codes’.

The Welcome page for the EDGAR Filer Management Website will appear.

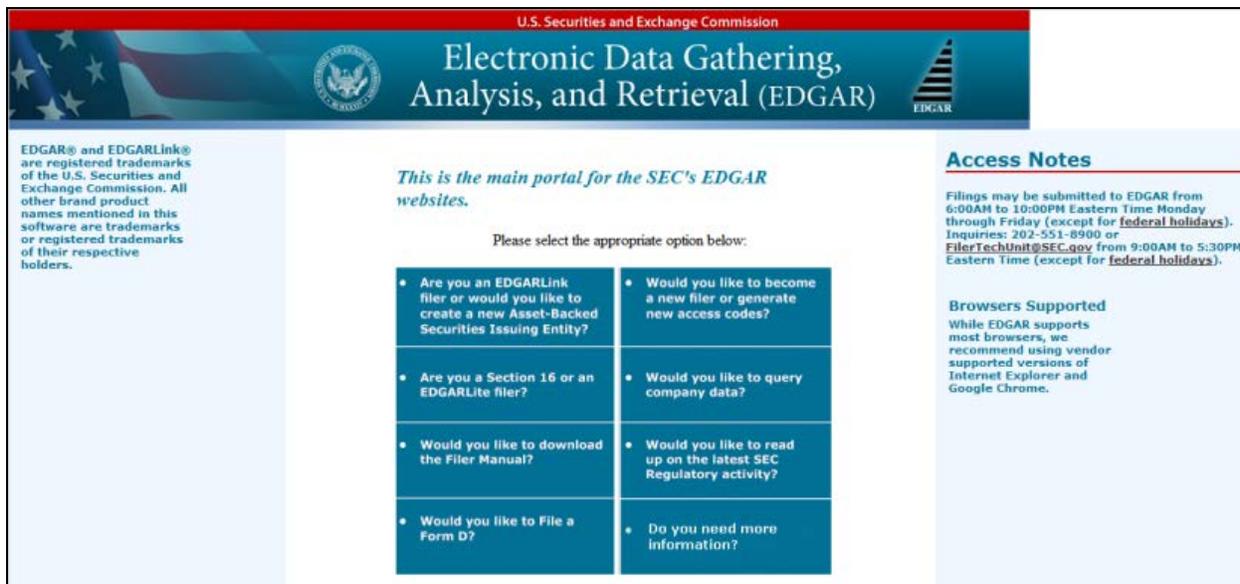


Figure 3-1: EDGAR Gateway Page

### 3.1.2 Accessing the EDGAR Filer Management Website

Another way to access the EFMW is to go directly to the website by executing the following procedure:

1. Connect to the Internet.
2. Go to the EFMW

<https://www.filermanagement.edgarfiling.sec.gov>

The EFMW Home page appears (see Figure 3-2: EDGAR Filer Management Home Page).

This page functions as a gateway to the website.

3. Click the [Press Here to Begin] button.

The EFMW Welcome page appears (Figure 3-3: EDGAR Filer Management Welcome Page (Top)).

This page provides access to the electronic Form ID application and other capabilities provided by the EFMW.

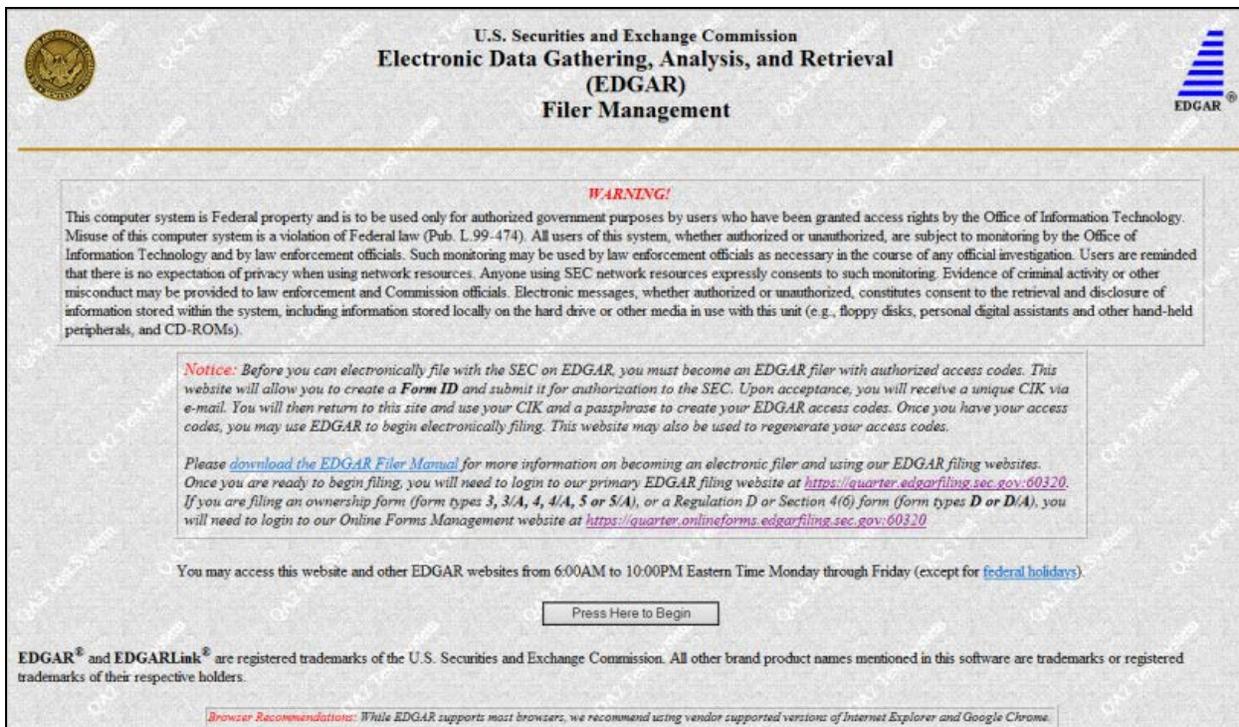


Figure 3-2: EDGAR Filer Management Home Page



Figure 3-3: EDGAR Filer Management Welcome Page (Top)

### 3.1.3 Navigating the EDGAR Filer Management Website (EFMW)

Once you access the EFMW, an option menu appears on the left-hand side of the browser window. This menu allows you to navigate easily through the EFMW without having to return to a menu page. This menu is broken down into two different sections:

- Filer Management
- Support

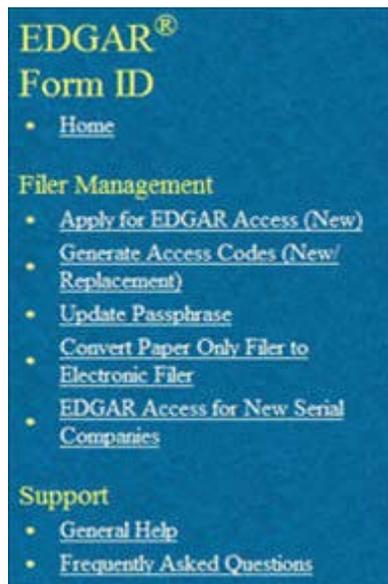


Figure 3-4: EFMW Welcome Page Menu

Note that clicking 'Home' merely redisplay the EFMW Welcome page. This menu item exists for consistency with other EDGAR websites (such as the OnlineForms/XML Website) and to support future functionality. Please note that the links open pop-up windows, so users should not disable pop-up displays.

#### 3.1.3.1 Filer Management

In the Filer Management section, there are five links:

- Apply for EDGAR Access (New)
- Generate Access Codes (New/Replacement)
- Update Passphrase
- Convert Paper Only Filer to Electronic Filer
- EDGAR Access for New Serial Companies

By clicking 'Applying for EDGAR Access (New)', you can create a Form ID application and submit it to the SEC for acceptance. A Form ID application is typically submitted by:

- A [potential] filer who has not previously filed with the SEC in any media  
or

- A current filer who needs to file in a new capacity<sup>1</sup>

Acceptance of a Form ID application results in the creation of a new Central Index Key (CIK)<sup>2</sup>.

For more details, please refer to Section 3.2, “New SEC Filer: Applying for EDGAR Access.”

When you click ‘Generate Access Codes (New/Replacement)’ and enter your CIK and your passphrase<sup>3</sup>, you are presented with EDGAR access codes (for an existing CIK) that are needed to perform common “filing” activities. (These EDGAR access codes are the Password Modification Authorization Code [PMAC], the password, and the CIK Confirmation Code [CCC]). For more details, please refer to Section 4.1, “Generating All EDGAR Access Codes.”

By clicking ‘Update Passphrase,’ you can create a request for a new passphrase and submit it to the SEC for review and acceptance. This capability allows an existing EDGAR filer who has forgotten or wants to change his or her passphrase to get a new passphrase. With a new passphrase, the filer can regenerate the PMAC, password, and CCC. For more details, please refer to Section 4.1.1, “Requesting an EDGAR Passphrase.”

By clicking ‘Convert Paper Only Filer to Electronic Filer,’ you can create a request for EDGAR access and submit it to the SEC for review and acceptance. This capability allows the filer to file electronically with the SEC in the future. For more details, please refer to Section 3.3.1, “Current Paper Only Filer.”

By clicking ‘EDGAR Access for New Serial Companies,’ you can create a request for EDGAR access for a new serial company and submit it to the SEC for review and acceptance. This capability allows a serial company that was previously created via the submittal of a form 424B or 424H filing to specify a passphrase for access to EDGAR (after the request has been accepted by the SEC, the serial company can use the passphrase to get the access codes [PMAC, password, and CCC] that are needed to file with EDGAR). For more details, please refer to Section 4.1.1, “Requesting an EDGAR Passphrase.”

### **3.1.3.2 Support**

In the Support section, there are two links:

- General Help
- Frequently Asked Questions

#### **3.1.3.2.1 General Help**

If you need help while using the EFMW on the Internet, click ‘General Help’ from the menu to bring up the General Help page (Figure 3-5: EFMW General Help Page) that displays a list of help topics. When you click on a topic, you are shown information or additional links to specify the type of assistance you need.

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<sup>1</sup> “Capacity” in this context is one of the following: filer, filing agent or training agent. It refers to the applicant, not the person filling out the form.

<sup>2</sup> The CIK is a number that is assigned to each entity (company or individual) that submits filings to the SEC. Use of the CIK allows us to differentiate between filing entities with similar names. A CIK is used to identify all filers, both EDGAR and non-EDGAR.

<sup>3</sup> The EDGAR passphrase is a security code that is used to generate a set of EDGAR access codes.



Figure 3-5: EFMW General Help Page

### 3.1.3.3 Frequently Asked Questions

Click 'Frequently Asked Questions' (FAQ) to open the EFMW Frequently Asked Questions page. The FAQ page answers the questions about the EFMW that have been asked most often. You may find the answers helpful while using the EFMW. Click on the hyperlink topic to display the answer in the lower portion of the window.

## 3.2 New SEC Filer: Applying for EDGAR Access

This section walks you through the process of applying for access to EDGAR **for applicants who are new to filing with the SEC or who need to file with the SEC in a new role (e.g., filing agent or training agent)**. Filers who have previously filed with the SEC on paper and who need to begin filing electronically should follow the instructions in Section 3.3.1, "Current Paper Only Filer." New serial companies that need EDGAR access should follow the instructions in Section 3.3.2, "New Serial Company."

### 3.2.1 Overview

The process of applying for access to EDGAR consists of two parts as follows:

- Composing and submitting a Form ID
- Submitting Authentication documentation

**The SEC will not accept a Form ID application without the authentication document, and the Form ID application will not be accepted in paper format. Access to EDGAR will not be granted to a potential new filer until both parts (submission of Form ID and the authentication document) have been completed.**

The Form ID application is created and transmitted electronically. A notarized authentication document must accompany your Form ID application or your request to convert from a Paper to Electronic Filer. The notarized authentication document can be prepared in one of two ways:

- Complete the electronic Form ID application and print the "Form ID Application Confirmation" page. Have it signed and notarized and this document will serve as the authentication document.
- Complete and print the Form ID that is found on the SEC's Public Site, then have it signed and notarized. This document will serve as the authentication document.

Scan the notarized document, save it as a PDF (Portable Document Format) file, attach it to the Form ID application, and electronically submit it to the Commission.

Filers who are updating their passphrase must attach their notarized authentication document to their Update Passphrase request.

(Refer to Section 3.2.5, “Authentication Documentation,” for details.)

Within the context of a Form ID, the EFMW will:

- Allow you to provide all of the necessary information required by the SEC rules on an appropriate data gathering form (Form ID)
- Allow you to provide your signature and signature date
- Allow you to verify the information on the form
- Allow you to edit information on the form where necessary
- Allow you to print the “Form ID Application Confirmation” page to serve as the authentication document
- Allow you to upload attachments (i.e., cover letters, exhibits, or correspondence)
- Allow you to attach the Notarized Authentication PDF Form ID document
- Allow you to review and confirm your information and then print the submission for your records

Remember, the Form ID is a legal document. Consider these important notes when composing your Form ID using the EFMW:

- Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.
- Submission of a Form ID with missing required information will be considered incomplete and will not be accepted – all required fields must be completed.
- There is no capability to save work in progress, so it is important for you to have all of the information necessary to complete the form before you begin to assemble your submission online.
- You can exit the window at any time to discard your work in progress and start over.
- Only one applicant per Form ID is allowed (however, a method is provided to make it easier to submit multiple Form ID applications from the same browser window).

### 3.2.2 Application (Form ID)

This section outlines the process for composing a Form ID application using the EFMW and then transmitting the submission to EDGAR for processing.

Before beginning, gather all required information. Be especially sure to do the following:

- Determine the correct filer attributes: applicant type and company/individual indicator.
- Determine if the filer is requesting access codes to submit draft registration or draft offering statement.
- Ensure that you have identified the necessary contacts (for both EDGAR matters and for accounting and billing information).
- Ensure that you have proper and valid postal addresses, telephone numbers and e-mail addresses at hand.
- Scan the completed, signed, and notarized Form ID application along with any other attachments, such as a cover letter or exhibit, save them in the correct format and have the file names identified<sup>4</sup>.

The first step for composing a Form ID application is to bring up the Form ID data entry form. This is accomplished as follows:

1. Connect to the EFMW Welcome page (refer to Section 3.1.2, “Accessing the EDGAR Filer Management Website”).
2. Click ‘Apply for EDGAR Access (New)’ in the menu bar.
3. A new browser window opens and the data entry page for the Form ID application appears (see Figure 3-6: EDGAR Apply for EDGAR Access (New) Page (Top)).
4. Enter the Form ID data, described in the following subsections.

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<sup>4</sup> ASCII (\*.txt file extension), HTML (\*.htm file extension) and PDF attachments are accepted; graphic formats are not accepted.

## Apply for EDGAR Access (New)

Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.

Please fill in the application below if

- you as an individual,
- another individual whom you represent, or
- a company that you represent

needs to file electronically with the SEC via the EDGAR system. All references to “Applicant” on this form refer to the individual or company that needs to file with the SEC; thus, if you represent an individual or company, “Applicant” is *not* you but rather the individual or company that you *represent*.

**Note:** Filing Agent applicant type must be used ONLY by a financial printer, law firm, or other person, which will be using these access codes to send a filing or portion of a filing on behalf of a filer.

This application is for potential filers who are *new* to the SEC *only*: if the potential filer (i.e., Applicant) already has an assigned EDGAR Central Index Key (CIK), *do not use this form!* In this case, refer to the EDGAR Filer Manual for more information.

Form ID (\* indicates required field. Help for a field may be accessed by clicking its label.)

Application for EDGAR Access (Form ID)

Applicant Type

Filer

Indicate whether the applicant is a company or individual

Figure 3-6: EDGAR Apply for EDGAR Access (New) Page (Top)

The Form ID data entry page has five distinct sections:

### Applicant Information

Basic information about the applicant type and classification of the applicant, as a company or individual that wishes to file with the SEC.

**Note:** ‘Filing Agent’ applicant type must be used ONLY by a financial printer, law firm, or other person, which will be using these access codes to send a filing or portion of a filing on behalf of a filer.

### Filer Information

Additional information about the applicant when the applicant is a company.

### Contact for EDGAR Information, Inquiries and Access Codes

Information about the person who is the applicant’s point of contact for EDGAR-related information and queries.

### Contact for SEC Account Information and Billing Invoices

Information about the person who is the applicant’s point of contact for “financial” information and queries.

## Signature Information

Typed signature of the applicant, the authorized representative of an applicant that is not an individual or the individual authorized to sign by the individual applicant or authorized representative.

Note that the information to be entered is not the same for all applicants and that the data entry page is customized based upon the values of the filer attributes (Applicant Type and Company/Individual indicator). The sections that are required are based upon these filer attributes and are specified in Table 3–1: EDGAR Form ID Data Entry Block, Sections.

**Table 3–1: EDGAR Form ID Data Entry Block, Sections**

Applicant Type	Applicant Information	Filer Information	Contact Information	Account Information	Signature Information
Filer (Company)	Yes	Yes	Yes	Yes	Yes
Filer (Individual)	Yes	No	Yes	Yes	Yes
Filing Agent (Company)	Yes	Yes	Yes	Yes	Yes
Filing Agent (Individual)	Yes	No	Yes	Yes	Yes
Funding Portal (Company)	Yes	Yes	Yes	Yes	Yes
Funding Portal (Individual)	Yes	No	Yes	Yes	Yes
Institutional Investment Manager (Form 13F Filer) (Company)	Yes	Yes	Yes	Yes	Yes
Institutional Investment Manager (Form 13F Filer) (Individual)	Yes	No	Yes	Yes	Yes
Investment Company, Business Development Company or Insurance Company Separate Account (Company)	Yes	Yes	Yes	Yes	Yes
Large Trader (Company)	Yes	Yes	Yes	Yes	Yes
Large Trader (Individual)	Yes	No	Yes	Yes	Yes
Municipal Advisor (Company)	Yes	Yes	Yes	Yes	Yes
Municipal Advisor (Individual)	Yes	No	Yes	Yes	Yes
Nationally Recognized Statistical Rating Organization (Company)	Yes	Yes	Yes	Yes	Yes
Nationally Recognized Statistical Rating Organization (Individual)	Yes	No	Yes	Yes	Yes

Applicant Type	Applicant Information	Filer Information	Contact Information	Account Information	Signature Information
Non-Investment Company Applicant under the Investment Company Act of 1940 (Company)	Yes	Yes	Yes	Yes	Yes
Non-Investment Company Applicant under the Investment Company Act of 1940 (Individual)	Yes	No	Yes	Yes	Yes
Security-Based Swap Data Repository (Company)	Yes	Yes	Yes	Yes	Yes
Security-Based Swap Data Repository (Individual)	Yes	No	Yes	Yes	Yes
Security-Based Swap Dealer and Major Security-Based Swap Participant (Company)	Yes	Yes	Yes	Yes	Yes
Security-Based Swap Dealer and Major Security-Based Swap Participant (Individual)	Yes	No	Yes	Yes	Yes
Security-Based Swap Execution Facility (Company)	Yes	Yes	Yes	Yes	Yes
Security-Based Swap Execution Facility (Individual)	Yes	No	Yes	Yes	Yes
Training Agent (Company)	Yes	No	Yes	No	Yes
Training Agent (Individual)	Yes	No	Yes	No	Yes
Transfer Agent (Company)	Yes	Yes	Yes	Yes	Yes
Transfer Agent (Individual)	Yes	No	Yes	Yes	Yes

### 3.2.2.1 Data Entry Conventions

The following are some basic EFMW data entry conventions:

- In Internet Explorer, disabled fields are read-only and are colored gray.
- An asterisk to the right of the label name indicates a required field. (For example, “Mailing Street 1 \*” is a required field.)
- Press the [Tab] key to move from field to field. (For this purpose, field level help counts as a field.)
- Field level help is available by clicking on the label.
- The [Exit Window] button will close the current data entry session and return to the EFMW Welcome page. Any data entered or attachments uploaded will be discarded.

### 3.2.2.2 Data Entry Details

Some significant details about the entry of the information on the Form ID application are described in the following sections. For each data portion of the data entry page there is a section and an associated screen shot.

#### 3.2.2.2.1 Applicant Information

The Applicant Information section of the Form ID application is the first data entry section that is displayed on the page. This information is to be supplied by all applicants. The filer attributes are the first items in this section (before the Name of Applicant/Individual) and are critical to the data entry process as they control the data entry fields that are available on the page. It is recommended that the filer attributes be specified before any other data and that an effort is made to ensure that they are correct: changing them after data has been entered in other fields may result in data being lost<sup>5</sup>. When the page is first displayed, the filer attributes are set to {"Filer" and "Company"}. If applicable, select the checkbox to indicate that you are requesting access codes to submit a draft registration statement or draft offering statement. Refer to Chapter 7 in Volume II of the EDGAR Filer Manual for more information on draft registration statements and draft offering statements.

The Name of Applicant or Name of Individual is the first data entry field after the filer attributes. The difference between the two is that the Name of Applicant is used for companies only and consists of a single component, while the Name of Individual is used for individuals only and consists of four components, one each for Last Name, First Name, Middle Name, and Suffix. As stated on the web page, the Name will be conformed according to the EDGAR standards. (See APPENDIX C, AUTOMATED NAME CONFORMANCE RULES, for details of these conformance rules.) These standards may be viewed online by clicking the link in the Note above the data entry field. The process of automatic name conformance cannot be turned off or otherwise prevented or avoided by the requestor or applicant.

The Mailing Address is required and must be entered for all applicants. However, it may also be used for other addresses on the Form ID application (as described in the appropriate sections).

The TIN is required whenever the applicant is a Company. However, a company that has applied for but has not yet received a TIN must enter "00-0000000" (zeroes). Remember to update your TIN when it is received. You must use the EDGAR Filing or OnlineForms/XML website's Edit Company Information capability to update the TIN in EDGAR. The TIN is not needed for Individuals and cannot be entered (the entry of a Social Security Number [SSN] is not required and is not supported).

**Note:** The "applicant" is the company or individual who is required to file with the SEC, not necessarily the person who is filling in the form (although it could be). The term "requestor" is used to refer to the person who is filling in the form.

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<sup>5</sup> Data in the sections that are common to the filer attributes settings will be preserved; however, data that exists in a section that is not needed based upon the new filer attribute setting is lost. For example, Filer (Company) requires the entry of Filer Information – if you switch the filer attributes to Filer (Individual), any Filer Information that you may have entered is lost.

## Apply for EDGAR Access (New)

Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.

Please fill in the application below if

- you as an individual,
- another individual whom you represent, or
- a company that you represent

needs to file electronically with the SEC via the EDGAR system. All references to "Applicant" on this form refer to the individual or company that needs to file with the SEC; thus, if you represent an individual or company, "Applicant" is *not* you but rather the individual or company that you *represent*.

**Note:** Filing Agent applicant type must be used ONLY by a financial printer, law firm, or other person, which will be using these access codes to send a filing or portion of a filing on behalf of a filer.

This application is for potential filers who are *new* to the SEC *only*: if the potential filer (i.e., Applicant) already has an assigned EDGAR Central Index Key (CIK), *do not use this form!* In this case, refer to the EDGAR Filer Manual for more information.

Form ID (\* indicates required field. Help for a field may be accessed by clicking its label.)

Application for EDGAR Access (Form ID)

Applicant Type  
Filer

Indicate whether the applicant is a company or individual  
 Company  Individual

Access codes will be used to submit draft registration or draft filing statement

Note: The Name of Applicant *must* be in English!  
Also, the value that you enter below may be conformed to meet EDGAR standards. Click [here](#) for details.

Name of Applicant (English language) \*

Mailing Street 1 \* Mailing Street 2

Mailing City \* Mailing State/Country \*

Mailing Zip/Postal Code \*

Phone \*

Note: If the potential filer does *not* have a TIN, enter "00-0000000" below.

Tax Identification Number (TIN)  
(DD-DDDDDD) \*

Figure 3-7: EDGAR Form ID Page, Applicant Information

### 3.2.2.2.2 Filer Information

The Filer Information section of the Form ID application is the second data entry section that is displayed on the page. This information can be supplied only for applicants that are companies.

The “Doing Business As” Name is optional. If the filer is a foreign filer, an optional Foreign Name data entry field is also available. This name is intended for the name of the company in a non-English language but using only the subset of the standard ASCII (text) character set that is supported by EDGAR.

The requestor must either explicitly enter the information required for the Business Address or check the “Business address same as mailing address” box. If the “Business address same as mailing address” box is checked, EDGAR will copy the Mailing Address information to the Business Address fields before submitting the Form ID application (this action is not immediate). When this box is checked, the Business Address data entry fields are disabled (grayed out with Internet Explorer).

The screenshot shows a web form titled "Filer Information". It contains the following fields and controls:

- "Doing Business As" Name: A text input field.
- Note: "The Foreign Name is intended to be the name of your company in any language other than English."
- Foreign Name: A text input field.
- Checkbox:  "Business address same as mailing address. Business address is required if not the same."
- Business Street 1: A text input field.
- Business Street 2: A text input field.
- Business City: A text input field.
- Business State/Country: A dropdown menu.
- Business Zip/Postal Code: A text input field.
- State of Incorporation: A dropdown menu with "VIRGINIA" selected.
- Fiscal Year End (MM/DD): A text input field with "10/31" entered.

Figure 3-8: EDGAR Form ID Page, Filer Information

### 3.2.2.2.3 Contact for EDGAR Information

The Contact for EDGAR Information, Inquiries, and Access Codes section of the Form ID application is the third data entry section that is displayed on the page. This information must be supplied for all applicants.

The Contact Address is required if any part of the address is different from the Mailing Address. If the Contact Address is identical to the Mailing Address, the requestor may check the “Contact address same as mailing address” box and EDGAR will copy the Mailing Address information to the Contact Address fields before submitting the Form ID application. When this box is checked, the Contact Address data entry fields are disabled (grayed out with Internet Explorer).

The E-Mail Address is critical to communications between the applicant and EDGAR and its validity is critical to success. This is because notifications (messages) are sent from EDGAR to this e-mail address. For example, an e-mail notification is sent to the applicant after his or her Form ID application is processed by the SEC – if the application is rejected, there is no other way for the SEC to contact the applicant. (Subsequent notifications may be retrieved from the EDGAR Filing or OnlineForms/XML websites).

The screenshot shows a web form titled "Contact for EDGAR Information, Inquiries and Access Codes". The form contains the following fields and elements:

- Contact Name \***: Text input field containing "Jane Doe".
- Contact address same as mailing address. Contact address is required if not the same.**
- Contact Street 1 \***: Text input field containing "555 Mockingbird Lane".
- Contact Street 2**: Text input field containing "Suite 8".
- Contact City \***: Text input field containing "Alexandria".
- Contact State/Country \***: Dropdown menu showing "VIRGINIA".
- Contact Zip/Postal Code \***: Text input field containing "22312-2447".
- Contact Phone \***: Text input field containing "703-555-1234".
- Note**: "The E-mail address below is where your new CIK will be sent after form submission and review. It is very important that you enter it correctly. To help ensure accuracy, you must enter it twice."
- E-mail Address \***: Text input field containing "myemailaddress@xyz.com".
- Re-enter E-mail Address \***: Text input field containing "myemailaddress@xyz.com".

Figure 3-9: EDGAR Form ID Page, Contact for EDGAR Information

Note that our rules require that you keep this information current. After your Form ID application is accepted and you have your EDGAR access codes, you can use the Edit Company Information capability of the EDGAR Filing or OnlineForms/XML websites to update this information as required.

#### 3.2.2.2.4 Contact for SEC Account Information

The Contact for SEC Account Information and Billing Invoices section of the Form ID application is the fourth data entry section that is displayed upon the page. This information is to be supplied for all Filers and Filing Agents.

The Contact Address is required if any part of the address is different from the Mailing Address. If the Contact Address is identical to the Mailing Address, the requestor may check the “Contact address same as mailing address” box and EDGAR will copy the Mailing Address information to the Contact Address fields before submitting the Form ID application. When this box is checked, the Contact Address data entry fields are disabled (grayed out with Internet Explorer).

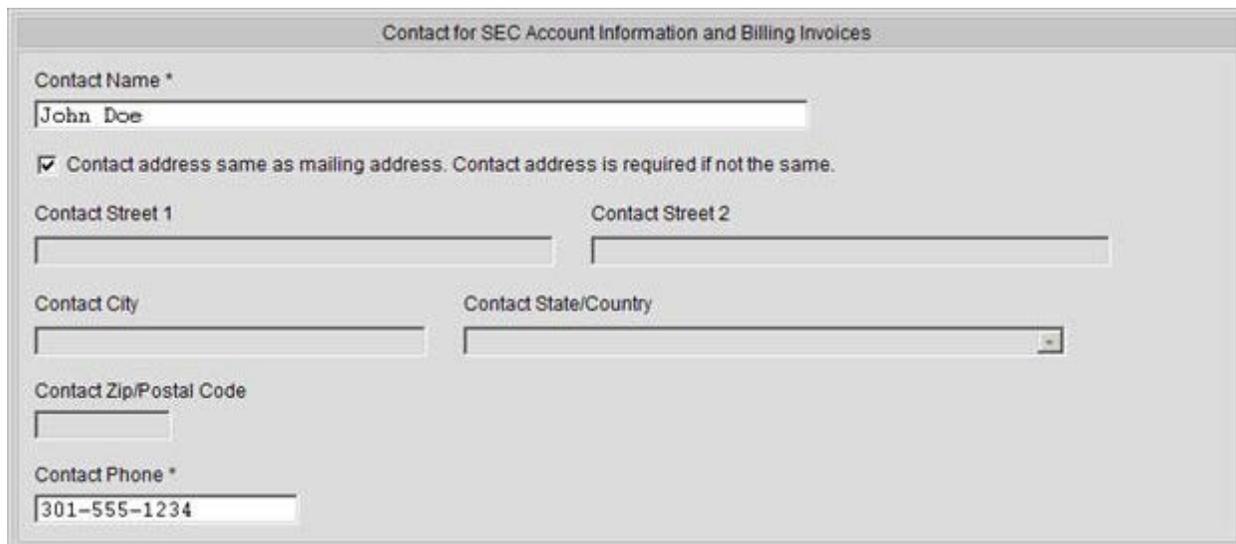
The screenshot shows a web form titled "Contact for SEC Account Information and Billing Invoices". It contains several input fields: "Contact Name \*" with the value "John Doe"; a checked checkbox labeled "Contact address same as mailing address. Contact address is required if not the same."; "Contact Street 1" and "Contact Street 2" fields; "Contact City" and "Contact State/Country" fields; "Contact Zip/Postal Code" field; and "Contact Phone \*" with the value "301-555-1234".

Figure 3-10: EDGAR Form ID Page, Contact for SEC Account Information

#### 3.2.2.2.5 Signature

The Signature Information section of the Form ID application is the fifth data entry section that is displayed upon the page. This information is to be supplied for all applicants. If the applicant is a company, a duly authorized person - such as a partner, president, treasurer, corporate secretary, officer, or director - must sign the Form ID application. Individuals may have someone with their power of attorney sign the Form ID application. Filing agents such as financial printers cannot sign this form on behalf of the issuer unless they are specifically authorized to do so in writing. The written documentation must be attached to the Form ID application. Refer to Section 3.2.3.2, “Assembling the Form ID Submission.”

The Signature that is entered is the text equivalent of the signer’s manual legal signature. For example, if Tobias Alowicious Smith uses “T. A. Smith” as his legal signature, the requestor would enter “T. A. Smith” in this data entry field. Note that the Signature is for the applicant, the authorized representative of an applicant that is not an individual, or the individual authorized to sign by the individual applicant or authorized representative, **which is not necessarily the person who is filling in the form (although they could be the same).**

The Title/Position is required only when the applicant is a company.

Signature Information

Note: Only a duly authorized person - such as a partner, president, treasurer, corporate secretary, officer, or director - may sign this application on behalf of the applicant.

Signature \*      Date (MM/DD/YYYY) \*

John Doe      5/17/2012

Title/Position \*

CEO

Continue >>      Help

Exit Window

**Figure 3-11: EDGAR Form ID Page, Signature Information**

### 3.2.3 Assembling and Submitting the Form ID Application

After you have entered all of the required data on the Form ID application, you are ready to complete the process and submit the Form ID application to the SEC for acceptance. You must do the following to finish the process:

- Correct any errors
- Upload the scanned, notarized authentication document in PDF format
- Upload any additional attachments
- Define a passphrase
- Submit the completed Form ID application

**Note:** The maximum size of a Form ID submission, including all attachments, must not exceed 200 MB.

### 3.2.3.1 Verifying the Form ID Application

**Note:** The figures in this section all contain sample data. Each figure represents the type of data that can be entered on the Form ID application. The figures are provided as examples of what you will see; your data will be different.

The next step in the process is to complete the Form ID data entry phase. This is accomplished as follows:

1. Click the [Continue] button (Figure 3-11: EDGAR Form ID Page, Signature Information).  
EDGAR validates the format and syntax of the information that you provided in the Form ID application (you are responsible for confirming the accuracy of all information submitted in the Form). If there are errors in the information provided (such as missing required fields), your Form ID application with the errors highlighted will be displayed (Figure 3-12: EDGAR Form ID, Errors (Top)). Follow the instructions on the screen to correct the errors, and then click the [Continue] button. Your updated Form ID application will be revalidated; if errors remain, your updated Form ID application with any errors is displayed. You must correct all errors to proceed past this point.

For example, the following errors are marked in Figure 3-12:

- Mailing State/Country is missing (required field)
- Phone [Telephone Number] is not in the correct format



2. If there are no errors in your Form ID application and the name conformance process changes your Name, a dialog box appears (Figure 3-13: EDGAR Form ID, Conformed Name Dialog).

The dialog box gives you the conformed Name of Applicant that will be used when your Form ID application is submitted. Click the [OK] button in the Conformed Name dialog box after you have reviewed the information.



**Figure 3-13: EDGAR Form ID, Conformed Name Dialog**

3. The EFMW Form ID Application Confirmation page appears (Figure 3-14: EDGAR Form ID Application Confirmation Page (Top) and Figure 3-15: (Bottom)).

This page allows you to review the information that will be sent to EDGAR after you submit this Form ID application. It also provides a way for you to:

- Edit any incorrect information (except for the conformed Name of Applicant).
  - Print the page, which must then be signed and notarized to serve as the authentication document.
  - Upload/delete attachments.
  - Define a passphrase.
4. Click the [Print Window] button near the bottom of the page to print the authentication document. The printed document must be signed and notarized.

## Form ID Application Confirmation

Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.

Please carefully review and confirm your FormID information. To make changes to your Form ID information, select the "Edit Form ID" button below.

Application for EDGAR Access (Form ID)	
Applicant Type:	Filer
Company/Individual:	Company
Access codes will be used to submit draft registration or draft offering statement	
Name of Applicant:	John Smith
Mailing Address:	123 WASHINGTON ST ARLINGTON, VA 33434
Phone:	555-555-5555
Tax Identification Number:	32-2342342
<b>Note:</b> This name will become your official company name upon Form ID acceptance.	
Filer Information	
"Doing Business As" Name:	
Foreign Name:	
Business Address:	123 WASHINGTON ST ARLINGTON, VA 33434
State of Incorporation:	
Fiscal Year End:	
Contact for EDGAR Information, Inquiries and Access Codes	
Contact Name:	TRENT FLUCAS
Contact Address:	123 WASHINGTON ST ARLINGTON, VA 33434
Contact Phone:	222-222-2222
E-mail Address:	tf@xyz.com
Contact for SEC Account Information and Billing Invoices	
Contact Name:	CHRIS HILL
Contact Address:	123 WASHINGTON ST ARLINGTON, VA 33434
Contact Phone:	333-333-3333
Signature Information	
Signature:	John Smith
Date:	2/2/2018
Title/Position:	CEO

Figure 3-14: EDGAR Form ID Application Confirmation Page (Top)

If you want to change any of the data displayed on the EFMW Form ID Application Confirmation page, click the [Edit Form ID] button in the middle of the page (Figure 3-14: EDGAR Form ID Application Confirmation Page (Top)).

Signature of Authorized Person: \_\_\_\_\_ Notary Signature & Seal to be Placed Here: \_\_\_\_\_

Printed Name of Signature: \_\_\_\_\_

Title of Person Signing: \_\_\_\_\_

You currently have 0 uploaded attachment(s). To complete processing of your Form ID, you must attach a PDF version of a notarized authentication document using the "Upload/Delete Attachments" button below. To upload optional attachments (such as a cover letter, correspondence, or power of attorney) or delete previously uploaded attachments, select the "Upload/Delete Attachment(s)" button below.

If you require additional information on how to format an uploaded attachment, please contact Filer Support Staff at 202-551-8900 or refer to Chapter 5 of Volume II of the EDGAR Filer Manual which discusses the guidelines for formatting an acceptable upload attachment.

[Upload/Delete Attachments](#)

Before submitting your Form ID, you must enter and re-enter a passphrase below. You will use this passphrase later, along with your new CIK, to generate your EDGAR access codes. **It is important that you remember this passphrase for later use.** Note that this passphrase is **not** your EDGAR Login password. Once you obtain your CIK via e-mail, this passphrase, along with your CIK, may be used to generate your EDGAR Login password (as well as CCC and PMAC).

\* indicates required field. Help for a field may be accessed by clicking its label.

**Passphrase Information**

Passphrase \* Note: Your passphrase must be 8 characters long and must contain at least one digit and one of the following characters: @, #, \*, or \$.

Re-enter Passphrase \*

Once you have confirmed the Form ID information above, attached all necessary documents, and entered your passphrase, select the "Submit Form ID" button below.

[Print Window](#)

---

[Submit Form ID](#)

---

[Exit Window](#)

**Figure 3-15: EDGAR Form ID Application Confirmation Page (Bottom)**

The EFMW Form ID application page appears (Figure 3-16: EDGAR Form ID Application Edit (Top)), prefilled with the data from your original Form ID application. Change any of the data that you want, and then click the [Continue] button. Your updated Form ID application will be re-verified; if errors remain, your updated Form ID application with any errors is displayed (Figure 3-12: EDGAR Form ID, Errors (Top)).

## Apply for EDGAR Access (New)

Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C. 1001.

Please fill in the application below if

- you as an individual,
- another individual whom you represent, or
- a company that you represent

needs to file electronically with the SEC via the EDGAR system. All references to “Applicant” on this form refer to the individual or company that needs to file with the SEC; thus, if you represent an individual or company, “Applicant” is *not* you but rather the individual or company that you *represent*.

**Note:** Filing Agent applicant type must be used **ONLY** by a financial printer, law firm, or other person, which will be using these access codes to send a filing or portion of a filing on behalf of a filer.

This application is for potential filers who are *new* to the SEC *only*: if the potential filer (i.e., Applicant) already has an assigned EDGAR Central Index Key (CIK), *do not use this form!* In this case, refer to the EDGAR Filer Manual for more information.

**Form ID** (\* indicates required field. Help for a field may be accessed by clicking its label.)

The screenshot shows the 'Application for EDGAR Access (Form ID)' form. The 'Applicant Type' dropdown menu is set to 'Filer'. Below this, there are radio buttons for 'Company' (selected) and 'Individual'. A checkbox for 'Access codes will be used to submit draft registration or draft offering statement' is unchecked. A note states: 'Note: The Name of Applicant must be in English! Also, the value that you enter below may be conformed to meet EDGAR standards. Click [here](#) for details.' The 'Name of Applicant (English language) \*' field contains 'John Smith'. The 'Mailing Street 1 \*' field contains '123 WASHINGTON ST' and the 'Mailing Street 2' field is empty.

Figure 3-16: EDGAR Form ID Application Edit (Top)

### 3.2.3.2 Assembling the Form ID Submission

The Form ID application must include a notarized authentication document in PDF format. The application can include other attachments such as a cover letter or Power of Attorney. To assemble the Form ID submission (i.e., associate any attachments with your Form ID application), you must upload them to EDGAR.

1. If you want to add or delete an attachment, click the [Upload/Delete Attachments] button in the middle of the page (Figure 3-15: EDGAR Form ID Application Confirmation Page (Bottom)).

The EFMW Upload/Delete Attachment(s) page appears (Figure 3-17: EDGAR Form ID Upload/Delete Attachment(s) Page). This page displays a table of the uploaded attachments and allows you to manage the attachments associated with your Form ID application.

**Upload/Delete Attachment(s)**

The following table contains a list of your currently attached documents. Use the "Upload Attachment" and "Delete Attachment" buttons below the table to make modifications to this list.

Attached Documents List			
#	File Name	Type	Description

**Figure 3-17: EDGAR Form ID Upload/Delete Attachment(s) Page**

2. To add an attachment, click the [Upload Attachment] button. (Any attachments you plan to include should already have been prepared and saved in the appropriate format prior to assembling your Form ID submission.) For example, the completed and printed Form ID application must be signed, notarized, and scanned as a PDF document ready for upload. Optional attachments such as a cover letter or a Power of Attorney must be in ASCII or HTML format.

**Notes:**

- (1) Scanned, notarized Form ID authentication document should be attached as CORRESP document type.
- (2) Document attachments must conform to the following standards:
  - The document file name must be in lower case and no longer than 32 characters in length. The name must start with a letter (a-z) and not contain spaces. File names may contain digits (0-9), up to one period (.), one hyphen (-), and one underscore (\_) character.
  - The PDF document attachment must not contain active content (Actions, embedded JavaScript, etc.), external references (Destinations, Hyperlinks, etc.), and passwords or document security controls. Refer to Chapter 5, Section 5.2, of Volume II of the Filer Manual for EDGAR standards on document formats.

The Upload Attachment page appears (Figure 3-18: EDGAR Form ID Upload Attachment Page).

3. Enter the appropriate information in the data entry fields, and then click the [Upload] button (to return to the Upload/Delete Attachment(s) page without uploading an attachment, click the [Cancel] button).

The EFMW Upload/Delete Attachment(s) page appears (Figure 3-17: EDGAR Form ID Upload/Delete Attachment(s) Page) with your new attachment displayed in the table.

**Upload Attachment**

---

To complete processing of your Form ID, you must upload a notarized authentication document. Your Form ID will not be processed if this document is not received. Your authentication document must be a PDF attachment that is submitted with your Form ID.

Enter the attachment information in the fields below and then select the "Upload" button. Note that only ASCII text, HTML or PDF documents can be uploaded. These documents must have the appropriate file name extension (.txt, .htm or .pdf respectively), and document type (COVER for cover letter, CORRESP for correspondence, and EX-24 for power of attorney). Please note that PDF documents must use the CORRESP document type. To return to the "Upload/Delete Attachment(s)" screen without uploading an attachment, select the "Cancel" button.

*\* indicates required field. Help for a field may be accessed by clicking its label.*

Attachment Information

File Name \*  Browse...

Type CORRESP

Description COVER  
CORRESP  
EX-24

Upload Cancel

Exit Window

**Figure 3-18: EDGAR Form ID Upload Attachment Page**

4. To delete an attachment, select the radio button to the left of the attachment you wish to delete and click the [Delete Attachment] button. The selected attachment will be discarded and its entry in the table on the Upload/Delete Attachment(s) page will be removed.
5. Continue to add or delete attachments until you are satisfied, and then click the [OK] button to return to the Form ID Application Confirmation page.

### 3.2.4 Defining a Passphrase

The passphrase is an EDGAR security code that is used to generate (or regenerate) the EDGAR access codes needed to make filings via EDGAR with the SEC. The passphrase is not used to log on to the EDGAR Filing or OnlineForms/XML websites. The passphrase allows a filer to generate a new set of EDGAR access codes if/when they are forgotten. (Refer to Section 4.1.1, “Requesting an EDGAR Passphrase,” for more information.)

It is important to remember that the passphrase and the EDGAR access codes are not assigned to the requestor of the Form ID, but to the applicant.

The last step prior to submitting your Form ID application to the SEC is to specify a passphrase. Please remember your passphrase. For security reasons, it cannot be recovered after the Form ID application window has been exited.

**Note:** Defining a passphrase must be the last step before submitting a Form ID application to the SEC. If you enter a passphrase and then click the [Edit Form ID] or [Upload/Delete Attachments] button, the passphrase is discarded. This sequence of steps helps ensure the security of the passphrase.

6. To specify your passphrase, enter it in the data entry fields near the bottom of the Form ID Application Confirmation page (Figure 3-19: EDGAR Form ID Application Confirmation Page (Bottom)). For security reasons, your passphrase must be eight characters in length and contain at least one digit and one of the following characters: { @, #, \*, \$ }.

Before submitting your Form ID, you must enter and re-enter a passphrase below. You will use this passphrase later, along with your new CIK, to generate your EDGAR access codes. **It is important that you remember this passphrase for later use.** Note that this passphrase is **not** your EDGAR Login password. Once you obtain your CIK via e-mail, this passphrase, along with your CIK, may be used to generate your EDGAR Login password (as well as CCC and PMAC).

\* indicates required field. Help for a field may be accessed by clicking its label.

Passphrase Information	
Passphrase *	<b>Note:</b> Your passphrase must be 8 characters long and must contain at least one digit and one of the following characters: @, #, *, or \$.
<input type="text"/>	
Re-enter Passphrase *	
<input type="text"/>	

Once you have confirmed the Form ID information above, attached all necessary documents, and entered your passphrase, select the "Submit Form ID" button below.

Print Window

---

Submit Form ID

---

Exit Window

Figure 3-19: EDGAR Form ID Application Confirmation Page (Bottom)

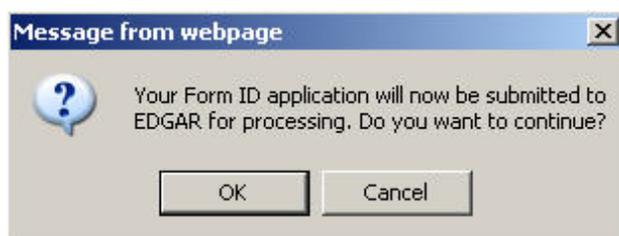
### 3.2.4.1 Submitting a Form ID Application

You are ready to submit the Form ID application to the SEC once you have completed the Form ID application, added the required notarized authentication document and any additional attachments, and specified a passphrase.

**Consider this step carefully:** You cannot easily retract the Form ID application after it has been submitted. If you decide that you do not want to submit the Form ID application, close the browser window by clicking the [Exit Window] button at the bottom of the Form ID Application Confirmation page. If you close the window, all of the data that you have entered on the Form ID application and any attachments will be discarded.

1. To submit your Form ID application, click the [Submit Form ID] button at the bottom of the Form ID Application Confirmation page (Figure 3-19: EDGAR Form ID Application Confirmation Page (Bottom)).

A dialog box appears (Figure 3-20: EDGAR Form ID, Submittal Dialog) asking you to confirm that you want to submit the Form ID application. If you do not want to submit it, click the [Cancel] button and the dialog box will disappear; otherwise, click the [OK] button to submit the Form ID application to the SEC.



**Figure 3-20: EDGAR Form ID, Submittal Dialog**

**Note:** After you click the [OK] button, the Form ID application is submitted to the automated submission processing portion of the EDGAR system. EDGAR will give an indicator that the submission is in progress. This is the start of the acceptance process; your subsequent actions in this browser window will not affect this process. However, the acceptance process for your Form ID cannot be completed until your authentication document (scanned PDF) has been reviewed by the Branch of Filer Support. Refer to Section 3.2.5, “Authentication Documentation,” for more information.

The EFMW Form ID Application Acknowledgment page appears (Figure 3-21: EDGAR Form ID Application Acknowledgment Page). This page provides the Accession Number for the submission (use this number when referring to this submission) and lists the Form ID information that was submitted).

**Note:** The Accession Number is a unique code assigned to your Form ID submission. It has a format of: 9999999996-[Year]-[Sequence Number]

Click the [Print Window] button near the bottom of the page to print this page to make a copy for your records.

## Form ID Application Acknowledgment

Your Form ID was successfully submitted. Your accession number for this submission is 9999999996-18-200044.

After Filer Support has reviewed your application you will receive an e-mail informing you that your request was either accepted (and include your new CIK), or rejected (and include the reason why).

If you have any questions regarding the status of your Form ID application, please contact Filer Support at (202) 551-8900.

Application for EDGAR Access (Form ID)	
Applicant Type:	Filer
Company/Individual:	Company
Access codes will be used to submit draft registration or draft offering statement	
Name of Applicant:	John Smith
Mailing Address:	123 WASHINGTON ST ARLINGTON, VA 33434
Phone:	555-555-5555
Tax Identification Number:	32-2342342
Filer Information	
"Doing Business As" Name:	
Foreign Name:	
Business Address:	123 WASHINGTON ST ARLINGTON, VA 33434
State of Incorporation:	
Fiscal Year End:	
Contact for EDGAR Information, Inquiries and Access Codes	
Contact Name:	TRENT FLUCAS
Contact Address:	123 WASHINGTON ST ARLINGTON, VA 33434
Contact Phone:	222-222-2222
E-mail Address:	tt@xyz.com
Contact for SEC Account Information and Billing Invoices	
Contact Name:	CHRIS HILL
Contact Address:	123 WASHINGTON ST ARLINGTON, VA 33434
Contact Phone:	333-333-3333
Signature Information	
Signature:	John Smith
Date:	2/2/2018
Title/Position:	CEO

Print Window

Create New, Blank Form ID

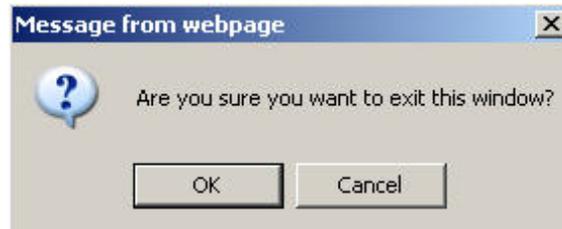
Create New, Pre-filled Form ID

Exit Window

**Figure 3-21: EDGAR Form ID Application Acknowledgment Page**

2. Click the [Exit Window] button near the bottom of the Form ID Application Acknowledgment page to finish the process by closing the browser window.

A dialog box appears (Figure 3-22: EDGAR Form ID, Exit Window Dialog) asking you to confirm that you want to exit the browser window. If you do not want to exit, click the [Cancel] button and the dialog box will disappear; otherwise, click the [OK] button and the browser window will be closed and the previously entered Form ID information and any attachments (documents) will be discarded.



**Figure 3-22: EDGAR Form ID, Exit Window Dialog**

### 3.2.4.2 Starting Another Form ID Application

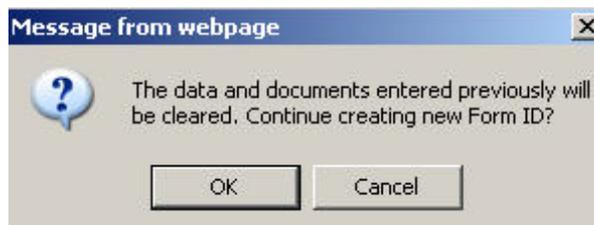
If you would like to start another Form ID application, directly from the Form ID Application Acknowledgment page, click one of the buttons provided for this purpose near the bottom of the page (Figure 3-21: EDGAR Form ID Application Acknowledgment Page).

#### 3.2.4.2.1 Create New, Blank Form ID

This option returns you to the Form ID Application page (in the same browser window) and deletes all of the data that you had previously entered. Use this capability when you need to submit another Form ID application for a company or person whose information is different from that previously entered.

1. Click the [Create New, Blank Form ID] button near the bottom of the Form ID Application Confirmation page.

A dialog box appears (Figure 3-23: EDGAR Form ID, New Blank Form Dialog) warning you that the previously entered Form ID information and any attachments (documents) will be cleared if you continue. If this is not your desire, click the [Cancel] button on the dialog box.



**Figure 3-23: EDGAR Form ID, New Blank Form Dialog**

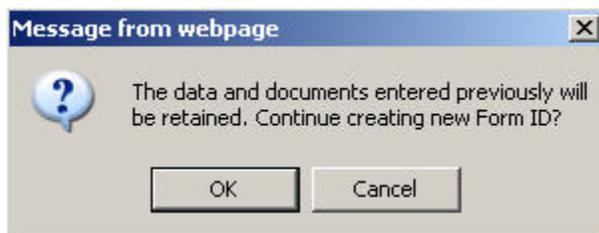
If you would like to start a new, blank Form ID application, click the [OK] button on the dialog box. The EFMW Apply for EDGAR Access (New) page appears in the same browser window without any of the previously entered data. Follow the previous instructions (Section 3.2, “New SEC Filer: Applying for EDGAR Access”) to compose and submit this new Form ID application.

### 3.2.4.2.2 Create New, Pre-filled Form ID

After submitting one Form ID application, the Create New, Pre-Filled Form ID option returns you to the Form ID Application page (in the same browser window) and prefills all of the data entry fields with the data that you had previously entered, except for the Name of Applicant or Name of Individual (as appropriate). Use this capability when you need to submit another Form ID application for a company or person whose information is materially the same as that previously entered.

1. Click the [Create New, Pre-filled Form ID] button near the bottom of the Form ID Application Confirmation page.

A dialog box appears (Figure 3-24: EDGAR Form ID, New Pre-filled Form Dialog) warning you that the previously entered Form ID information and any attachments (documents) will be retained if you continue. If this is not your desire, click the [Cancel] button on the dialog box.



**Figure 3-24: EDGAR Form ID, New Pre-filled Form Dialog**

If you would like to start a new, prefilled Form ID application, click the [OK] button on the dialog box. The EFMW Apply for EDGAR Access (New) page appears in the same browser window with all of the previously entered data except for the Name (which is empty). Follow the previous instructions (Section 3.2, “New SEC Filer: Applying for EDGAR Access”) for composing and submitting this new Form ID application.

### 3.2.5 Authentication Documentation

The Form ID application must be supplemented with additional verification to help ensure that the application is authentic. Accordingly, the applicant is required to attach a manually signed, notarized, and scanned PDF file to their electronic Form ID. This can be done in two ways:

- Complete the electronic Form ID application and print the “Form ID Application Confirmation” page.
- or
- Complete and print the Form ID that is found on the SEC’s Public Site.

Have the printed form signed and notarized and this document will serve as the authentication document. Scan the notarized document, save it as a PDF (Portable Document Format) file, attach it to the Form ID application, and electronically submit it to the Commission.

The authentication document must include the following information:

- Signature of Authorized Person
- Printed Name of Signature
- Title of Person Signing

- Notary Signature and Seal

### 3.2.6 Application Acceptance and Applicant Notification

After the SEC receives both the electronic Form ID application and the attached authentication documentation, the SEC will authenticate the request. A notification message stating the SEC's disposition of the application will be sent to the e-mail address provided in the "Contact for EDGAR Information" part of the Form ID. The disposition will be either "accepted" or "rejected."

If the application was accepted, the e-mail message will include but will not be limited to the following information:

- Text saying that the Form ID was accepted by the SEC
- The new Central Index Key [CIK]
- Basic directions for how to generate EDGAR access codes
- The URL of the EDGAR Filer Management Website

If the application was rejected, the e-mail message will include but will not be limited to the following information:

- Text saying that the Form ID was rejected by the SEC
- The reason that the application was rejected
- Basic instructions on how to resolve the issues

## 3.3 Current SEC Filer: Applying for EDGAR Access

This section explains the process of applying for access to EDGAR for **applicants who are currently filing with the SEC**, unless they seek to file in a different capacity (e.g., "individual," "filing agent," or "training agent"). Other filers should follow the instructions in Section 3.2, "New SEC Filer: Applying for EDGAR Access."

### 3.3.1 Current Paper Only Filer

**Note:** The "applicant" is the company or individual who is required to file with the SEC, not necessarily the person who is filling in the form (although it could be). The term "requestor" is used to refer to the person who is filling in the form.

This section outlines the process for composing and submitting an EDGAR access request using the EFMW when the applicant currently makes paper filings (only) with the SEC and wants to start to file electronically. Before beginning, ensure that you know the Central Index Key (CIK) of the applicant. If you do not know the CIK, you can look up the applicant by name by connecting to the EDGAR Company Database at URL

<https://www.edgarcompany.sec.gov>

and clicking the [Company Search] button. The CIK is one of the items returned by querying this database.

#### 3.3.1.1 Converting from Paper to Electronic Filer

To convert from a Paper Only Filer to an Electronic Filer, you must submit the EDGAR access request. This is accomplished as follows:

1. Connect to the EFMW Welcome page. (Refer to Section 3.1.2, “Accessing the EDGAR Filer Management Website.”)
2. Click ‘Convert Paper Only Filer to Electronic Filer’ in the menu bar.
3. A new browser window opens with the data entry page for the EDGAR access request (Figure 3-25: EDGAR Convert Paper Only Filer to Electronic Filer Page).  
Refer to Section 3.2.2.1, “Data Entry Conventions,” for the standards used on all of the EFMW pages.
4. Enter the required data (CIK, passphrase and e-mail address).  
Refer to Section 3.2.4, “Defining a Passphrase,” for more detailed description of the passphrase. For security reasons, the passphrase must be eight characters in length and contain at least one digit and one of the following characters: @, #, \*, \$.
5. Click the [Continue] button near the bottom of the page after entering the data.

**Convert Paper Only Filer to Electronic Filer**

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Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.

To convert from a paper only filer to an electronic filer, you must enter your CIK, a passphrase, and an e-mail address below. You will use your CIK and passphrase later to generate your EDGAR access codes. **It is important that you remember this passphrase for later use.** Note that this passphrase is **not** your EDGAR Login password. Once you have received a confirmation e-mail, this passphrase, along with your CIK, may be used to generate your EDGAR Login password (as well as CCC and PMAC).

\* indicates required field. Help for a field may be accessed by clicking its label.

**CIK/Passphrase Information**

CIK \*

Passphrase \* Note: Your passphrase must be 8 characters long and must contain at least one digit and one of the following characters: @, #, \*, or \$.

Re-enter Passphrase \*

**Note:** The E-mail address below is where your confirmation will be sent after submission and review. It is very important that you enter it correctly. To help ensure accuracy, you must enter it twice.

E-mail Address \*

Re-enter E-mail Address \*

[Continue]

[Exit Window]

**Figure 3-25: EDGAR Convert Paper Only Filer to Electronic Filer Page**

The EDGAR Convert Paper Only Filer to Electronic Filer Confirmation Page opens (Figure 3-26: EDGAR Convert Paper Only Filer to Electronic Filer Confirmation Page). This page serves as the authentication document for the process.

## Convert Paper Only Filer to Electronic Filer Confirmation

To complete processing of your Convert Paper Only Filer to Electronic Filer request, you must attach a PDF version of a notarized authentication document using the "Upload/Delete Attachment" button below. **You must click the Submit button after you upload your document.**

If you have any questions regarding the status of your Convert Paper Only Filer to Electronic Filer application, please contact Filer Support at (202) 551-8900. After the SEC has reviewed an application, an e-mail will be sent to the email address on file with EDGAR informing the company that the request was either accepted or rejected (to include a reason why the application was rejected).

CIK: 0001118503	
Name Associated with CIK: DONNIE TEST CORP FOUR	
Current Company Mailing Address: 12345 EASTWAY DRIVE, CHARLOTTE, NC 28205	
Contact Person:	_____
Contact Telephone Number:	_____
Signature of Authorized Person:	Notary Signature & Seal to be Placed Here:
_____	_____
Printed Name of Signature:	
_____	
Title of Person Signing:	
_____	
Print Window	
Upload/Delete Attachment	
Submit	
Exit Window	

**Figure 3-26: EDGAR Convert Paper Only Filer to Electronic Filer Confirmation Page**

- Click the [Print Window] button near the bottom of the page to print the authentication document. The printed document must be signed and notarized.
- Scan the authentication document and save it in PDF format. Then, click the [Upload/Delete Attachments] button on the Convert Paper Only Filer to Electronic Filer Confirmation Page.

**Note:** The document for uploading must be in PDF format. The acceptance process cannot be completed until you submit the authentication document to the SEC; refer to Section 3.3.1.2, “Authentication Documentation,” for more information.

The EDGAR Upload/Delete Attachment Page opens (Figure 3-27: EDGAR Upload/Delete Attachment Page). This page is used to manage the attachment associated with your EDGAR access request.

**Upload/Delete Attachment**

---

The following table contains displays your attached document. Use the “Upload Attachment” and “Delete Attachment” buttons below the table to make modifications to this table.

Attached Document List			
#	File Name	Type	Description

---

**Figure 3-27: EDGAR Upload/Delete Attachment Page**

8. To add an attachment, click the [Upload Attachment] button. The EDGAR Upload Attachment page opens (Figure 3-28: EDGAR Upload Attachment Page).

## Upload Attachment

---

Enter the attachment information in the fields below and then select the "Upload" button. Note that only PDF documents can be uploaded. These documents must have the appropriate file name extension (.pdf). To return to the "Upload/Delete Attachment" screen without uploading an attachment, select the "Cancel" button.

*\* Indicates required field. Help for a field may be accessed by clicking its label.*

Attachment Information

File Name \*

Type

Description

---

**Figure 3-28: EDGAR Upload Attachment Page**

9. Click the [Browse] button to select the attachment. Only a PDF document can be uploaded. The document must have the .pdf file extension.  
To cancel an attachment, click the [Cancel] button; to close the browser window, click the [Exit Window] button.  
**Note:** The Type field defaults to CORRESP and it is non-editable. Refer to Section 3.2.3.2, "Assembling the Form ID Submission" for EDGAR standards on document attachments.
10. Enter a description for the attachment, and click the [Upload] button.  
The EDGAR Upload/Delete Attachment Page opens and the new attachment is displayed in the Attached Document List table.
11. Continue to add or delete the attachment as needed, and then click the [OK] button. Only one authentication attachment is allowed.  
**Note:** The maximum size of a Convert Paper Only Filer to Electronic Filer submission, including the attachment, must not exceed 200 MB.

## Upload/Delete Attachment

The following table displays your attached document. Use the "Upload Attachment" and "Delete Attachment" buttons below the table to make modifications to this table.

Attached Document List				
	#	File Name	Type	Description
	1	authentication.pdf	CORRESP	Authentication Document

Upload Attachment

Delete Attachment

OK

Exit Window

**Figure 3-29: New attachment in the Attached Document List table**

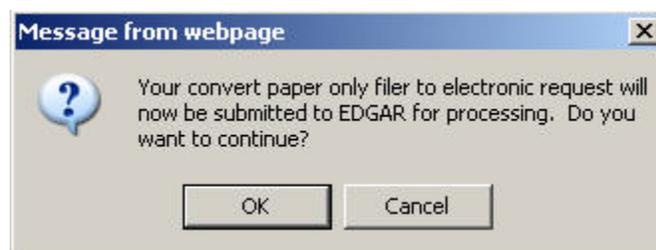
The Convert Paper Only Filer to Electronic Filer Confirmation Page opens. (Figure 3-30: EDGAR Convert Paper Only Filer to Electronic Filer Confirmation Page (Bottom))

Signature of Authorized Person:	Notary Signature & Seal to be Placed Here:
_____	_____
Printed Name of Signature:	
_____	
Title of Person Signing:	
_____	
<input type="button" value="Print Window"/>	
<input type="button" value="Upload/Delete Attachment"/>	
<input type="button" value="Submit"/>	
<input type="button" value="Exit Window"/>	

**Figure 3-30: EDGAR Convert Paper Only Filer to Electronic Filer Confirmation Page (Bottom)**

- Click the [Submit] button (Figure 3-30: EDGAR Convert Paper Only Filer to Electronic Filer Confirmation Page (Bottom)) to submit the Convert Paper Only Filer to Electronic Filer request.

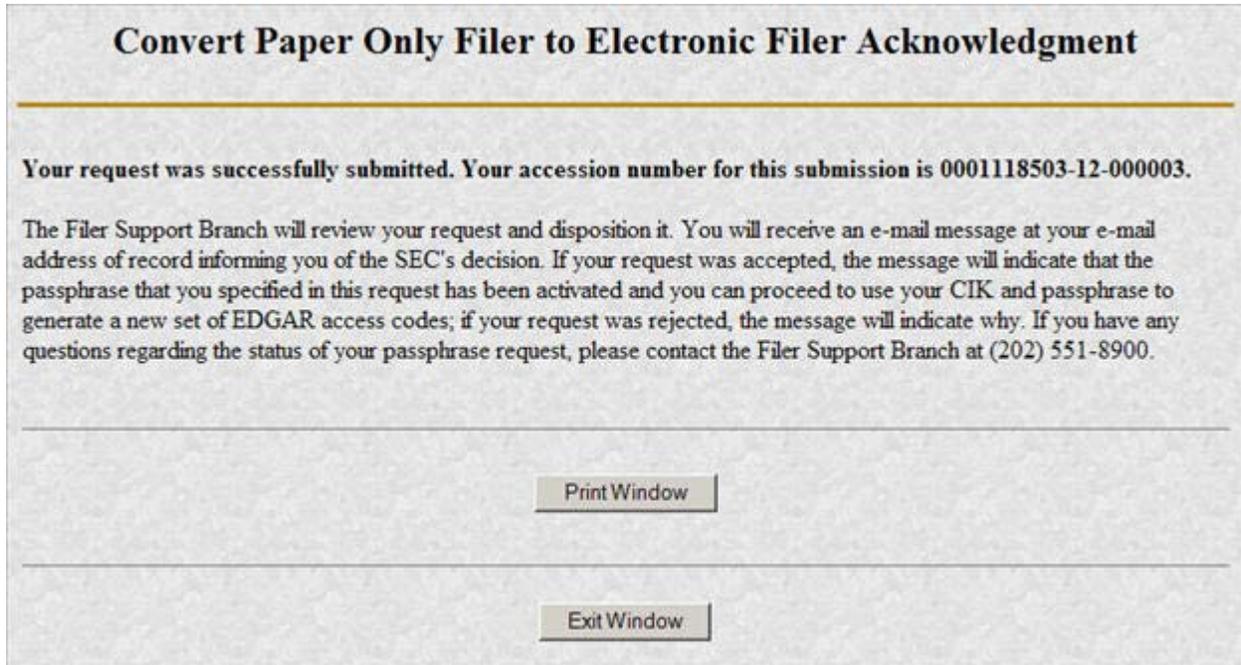
A dialog box displays asking for confirmation. (Figure 3-31: EDGAR Convert to Electronic Filer, “Continue” Dialog Box). To submit the request to EDGAR for processing, click the [OK] button; to cancel the request, click the [Cancel] button.



**Figure 3-31: EDGAR Convert to Electronic Filer, “Continue” Dialog Box**

**Note:** After you click the [OK] button, the Convert Paper Only Filer to Electronic Filer request is submitted to the automated submission processing portion of the EDGAR system. EDGAR will give an indicator that the submission is in progress. This is the start of the acceptance process; any subsequent actions in this browser window will not affect this process.

The EFMW Convert Paper Only Filer to Electronic Filer Acknowledgment page appears (Figure 3-32: EDGAR Convert Paper Only Filer to Electronic Filer Acknowledgment Page). This page provides the Accession Number for the submission - use this number when referring to this submission.



**Figure 3-32: EDGAR Convert Paper Only Filer to Electronic Filer Acknowledgment Page**

13. Click the [Exit Window] button to complete the process and close the browser window.

### 3.3.1.2 Authentication Documentation

The Convert Paper Only Filer request must be supplemented with an additional authentication document to ensure that the request is authentic. The authentication document must be signed and notarized, and include the following information:

- CIK
- Name associated with that CIK
- Current Company Mailing Address
- Contact Person
- Contact Telephone Number
- Signature of authorized person
- Printed Name of Signature
- Title of Person Signing

### 3.3.1.3 Request Acceptance and Applicant Notification

After the SEC receives both the electronic Convert Paper Only Filer to Electronic Filer request and the attached authentication documentation, the SEC will authenticate the request. A notification message stating the SEC's disposition of the request will be sent to the e-mail address provided in the request. The disposition will be either "accepted" or "rejected."

If the request is accepted, the e-mail message will include but will not be limited to the following information:

- Text saying that the request was accepted by the SEC
- Text stating that the specified passphrase was activated
- Basic directions for how to generate EDGAR access codes
- Instructions on how to review and update your company information (e.g., Business Address) to ensure that it is accurate and up-to-date
- The URL of the EDGAR Filer Management Website

If the request is rejected, the e-mail message will include but will not be limited to the following information:

- Text saying that the request was rejected by the SEC
- The reason that the request was rejected
- Basic instructions on how to resolve the issue

### 3.3.2 New Serial Company

**Note:** The “applicant” is the company or individual who is required to file with the SEC, not necessarily the person who is filling in the form (although it could be). The term “requestor” is used to refer to the person who is filling in the form.

A serial company is created as a result of a “parent” company filing a Form 424B<sup>6</sup> or 424H using a serial tag, with the SEC. When the 424B or 424H submission is accepted by the SEC, the serial company is created in EDGAR and a [new] CIK is assigned. However, the act of creating the serial company in EDGAR does not automatically result in EDGAR access for the new company: the new serial company must request access to EDGAR. This section outlines the process for composing and submitting an EDGAR access request using the EFMW when the applicant is a newly created serial company.

Before beginning, ensure that you know the Central Index Key (CIK) of the applicant (it will be specified in the notification message sent to the parent company by EDGAR after the SEC accepts the Form 424B or 424H). If you do not know the CIK, you can look up the serial company by name using the EDGAR Company Database at URL:

<https://www.edgarcompany.sec.gov>

and clicking the [Company Search] button. The CIK is one of the items returned by querying this database.

**Note:** The EDGAR Company Database is updated nightly so it will be populated with the new serial company’s CIK no earlier than the day after the 424B or 424H that created it is accepted.

#### 3.3.2.1 Composing the New Serial Company Access Request

To compose a new serial company access request, bring up the EDGAR access request data entry form. This is accomplished as follows:

1. Connect to the EFMW Welcome page. (Refer to Section 3.1.2, “Accessing the EDGAR Filer Management Website.”)
2. Click ‘EDGAR Access for New Serial Companies’ in the menu bar.
3. A new browser window opens and the data entry page for the EDGAR access request appears (Figure 3-33: EDGAR Access for New Serial Companies Page).

Refer to Section 3.2.2.1, “Data Entry Conventions,” for the standards used on all of the EFMW pages.

---

<sup>6</sup> “424B” is a shorthand reference for Forms 424B1, 424B2, 424B3, 424B4, 424B5, 424B6, 424B7, and 424B8.

## EDGAR Access for New Serial Companies

Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.

To obtain access codes for a serial company, you must enter the serial company's CIK, a passphrase, and an e-mail address below. You will use this CIK and passphrase later to generate the EDGAR access codes for that serial company. **It is important that you remember this passphrase for later use.** Note that this passphrase is **not** the serial company's EDGAR Login password. Once you have received a confirmation e-mail, this passphrase, along with the CIK, may be used to generate the serial company's EDGAR Login password (as well as CCC and PMAC).

\* indicates required field. Help for a field may be accessed by clicking its label.

Serial Company CIK/Passphrase Information

Serial Company CIK \*

Passphrase \* **Note:** Your passphrase must be 8 characters long and must contain at least one digit and one of the following characters: @, #, \*, or \$.

Re-enter Passphrase \*

**Note:** The E-mail address below is where your confirmation will be sent after submission and review. It is very important that you enter it correctly. To help ensure accuracy, you must enter it twice.

E-mail Address \*

Re-enter E-mail Address \*

Continue

Exit Window

**Figure 3-33: EDGAR Access for New Serial Companies Page**

4. Enter the required data (CIK, passphrase and e-mail address)  
Refer to Section 3.2.4, "Defining a Passphrase," for a more detailed description of the passphrase. For security reasons, the passphrase must be at least eight characters in length and contain at least one digit and one of the following characters: { @, #, \*, \$ }.
5. Click the [Continue] button near the bottom of the page when you are satisfied with the data that you entered.  
The EDGAR Access for New Serial Companies Confirmation page appears. (Figure 3-34: EDGAR Access for New Serial Companies Confirmation Page). This page serves as the authentication document for the process.

## EDGAR Access for New Serial Companies Confirmation

---

To complete processing of your EDGAR Access for New Serial Companies request, you must attach a PDF version of a notarized authentication document using the "Upload/Delete Attachment" button below. **You must click the Submit button after you upload your document.**

If you have any questions regarding the status of your EDGAR Access for New Serial Companies request, please contact Filer Support at (202) 551-8900. After the SEC has reviewed an application, an e-mail will be sent to the email address on file with EDGAR informing the company that the request was either accepted or rejected (to include a reason why the application was rejected).

CIK: 0001125196

Name Associated with CIK: DONNIE SERIAL COMPANY2

Current Company Mailing Address: 126 NSAR GEN OAK STREETS, APT 888, CENTREVILLE NSAR,  
A3 A33933

Contact Person: TESTER ONE

Contact Telephone Number: 1232322332

Signature of Authorized Person:

Notary Signature & Seal to be Placed Here:

\_\_\_\_\_

\_\_\_\_\_

Printed Name of Signature:

\_\_\_\_\_

Title of Person Signing:

\_\_\_\_\_

Print Window

Upload/Delete Attachment

Submit

Exit Window

Figure 3-34: EDGAR Access for New Serial Companies Confirmation Page

6. Click the [Print Window] button near the bottom of the page to print the authentication document for the process. The printed document must be signed and notarized.
7. Scan the authentication document and save it in PDF format. Then, click the [Upload/Delete Attachment] button on the EDGAR Access for New Serial Companies Confirmation page.

**Note:** The acceptance process cannot be completed until you submit the authentication document to the SEC; refer to Section 3.3.2.2, “Authentication Documentation,” for more information.

The EDGAR Upload/Delete Attachment page opens. (Figure 3-35: EDGAR Upload/Delete Attachment Page). This page is used to manage the attachment associated with your EDGAR request.

**Upload/Delete Attachment**

---

The following table displays your attached document. Use the "Upload Attachment" and "Delete Attachment" buttons below the table to make modifications to this table.

Attached Document List			
#	File Name	Type	Description

---

**Figure 3-35: EDGAR Upload/Delete Attachment Page**

8. To add an attachment, click the [Upload Attachment] button. The EDGAR Upload Attachment page opens. (Figure 3-36: EDGAR Upload Attachment Page).

## Upload Attachment

---

Enter the attachment information in the fields below and then select the "Upload" button. Note that only PDF documents can be uploaded. These documents must have the appropriate file name extension (.pdf). To return to the "Upload/Delete Attachment" screen without uploading an attachment, select the "Cancel" button.

*\* Indicates required field. Help for a field may be accessed by clicking its label.*

Attachment Information

File Name \*  Browse...

Type: CORRESP

Description

---

**Figure 3-36: EDGAR Upload Attachment Page**

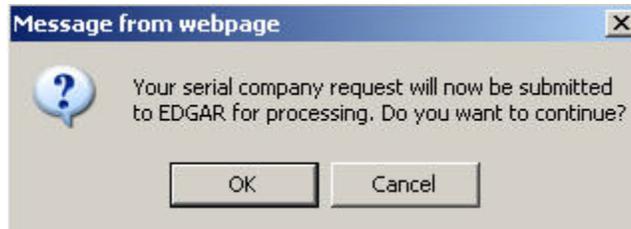
9. Click the [Browse] button to select the attachment. Only one document can be uploaded and the document must have the .pdf file extension.

**Note:** The Type field for the document defaults to CORRESP and is non-editable. Refer to Section 3.2.3.2, "Assembling the Form ID Submission," for EDGAR standards on document attachments.

To cancel an attachment, click the [Cancel] button; to close the browser window, click the [Exit Window] button.

10. Enter a description for the attachment and click the [Upload] button. The EDGAR Upload/Delete Attachment page opens and the new attachment is displayed in the Attached Document List table.
11. Continue to add or delete the attachment as needed, and then click the [OK] button. The EDGAR Access for New Serial Companies Confirmation page appears.
12. Click the [Submit] button to submit the New Serial Company Access request.

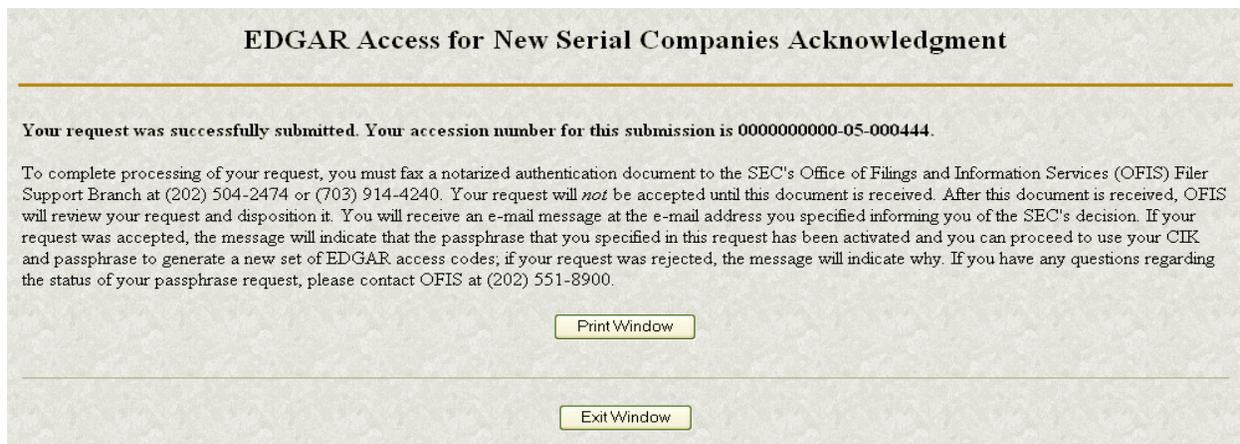
A dialog box appears (Figure 3-37: EDGAR New Serial Company Access, "Continue" Dialog) asking you to confirm that you want to submit the request. To submit the request to EDGAR for processing, click the [OK] button; to cancel the request, click the [Cancel] button.



**Figure 3-37: EDGAR New Serial Company Access, “Continue” Dialog**

**Note:** After you click the [OK] button, the EDGAR Access for New Serial Companies request is submitted to the automated submission processing portion of the EDGAR system. EDGAR will give an indicator that the submission is in progress. This is the start of the acceptance process; your subsequent actions in this browser window will not affect this process.

The EFMW EDGAR Access for New Serial Companies Acknowledgment page appears (Figure 3-38: EDGAR Access for New Serial Companies Acknowledgment Page). This page provides the Accession Number for the submission - use this number in the future when referring to this submission.



**Figure 3-38: EDGAR Access for New Serial Companies Acknowledgment Page**

**Note:** The Accession Number is a unique code assigned to your submission. It has a format of: 9999999996-[Year]-[Sequence Number].

13. Click the [Exit Window] button to complete the process and close the browser window.

### 3.3.2.2 Authentication Documentation

The EDGAR Access for New Serial Companies must be supplemented with an additional authentication document to ensure that the request is authentic. The authentication document must be signed and notarized, and include the following information:

- CIK
- Name associated with that CIK
- Name of the contact person for purposes of this request
- Contact person of the parent company on database
- Contact telephone number of the parent company on database
- Accession number of the 424B or 424H filing that created the serial company
- Printed or typed signature of authorized person

### 3.3.2.3 E-mail Notification of Acceptance or Rejection

After the SEC receives both the electronic EDGAR Access for New Serial Companies request and the associated authentication documentation, the SEC will authenticate the request. A notification message stating the SEC's disposition of the request will be sent to the e-mail address provided in the request. The disposition will be either "accepted" or "rejected."

If the request is accepted, the e-mail message will include but will not be limited to the following information:

- Text saying that the request was accepted by the SEC
- Text stating that the specified passphrase was activated
- Basic directions for how to generate EDGAR access codes
- The URL of the EDGAR Filer Management Website

If the request is rejected, the e-mail message will include but will not be limited to the following information:

- Text saying that the request was rejected by the SEC
- The reason that the request was rejected
- Basic instructions on how to resolve the issue

## 3.4 Creating an Asset Backed Securities Issuing Entity

Request Asset-Backed Securities (ABS) Issuing Entities Creation allows an Asset-Backed Securities Depositor to request the creation of up to 100 related Issuing Entities. A depositor, regardless of its SIC code value, can initiate the request.

**Note:** It is advisable to limit the number of companies specified in any one request. If there is a problem with the appropriateness of one of the names of the Issuing Entities, your request may be rejected. If this happens, then you must resubmit your entire request.

Once you have logged into EDGAR and accessed the Retrieve/Edit Company and Submission Data page, you can prepare a request to create ABS Issuing Entities:

1. Login to EDGAR.
2. When you reach the EDGAR Welcome page, click 'Retrieve/Edit Data'.
3. Figure 3-39: Retrieve/Edit Data Page appears, and prompts you for your CIK and CCC information:
  - Enter your CIK in the CIK field and press [Tab].
  - Enter your CCC in the CCC field.
  - Click the [Continue] button.

**Retrieve/Edit Data**  
CIK and CCC Request

---

**Enter a Company CIK and CCC**

CIK:

CCC:

You must enter a valid CIK and CIK Confirmation Code (CCC) before continuing. The following screens will allow you to retrieve, view and update information related to the CIK value entered.

**Figure 3-39: Retrieve/Edit Data Page**

Figure 3-40: Retrieve/Edit Company and Submission Data Page appears.

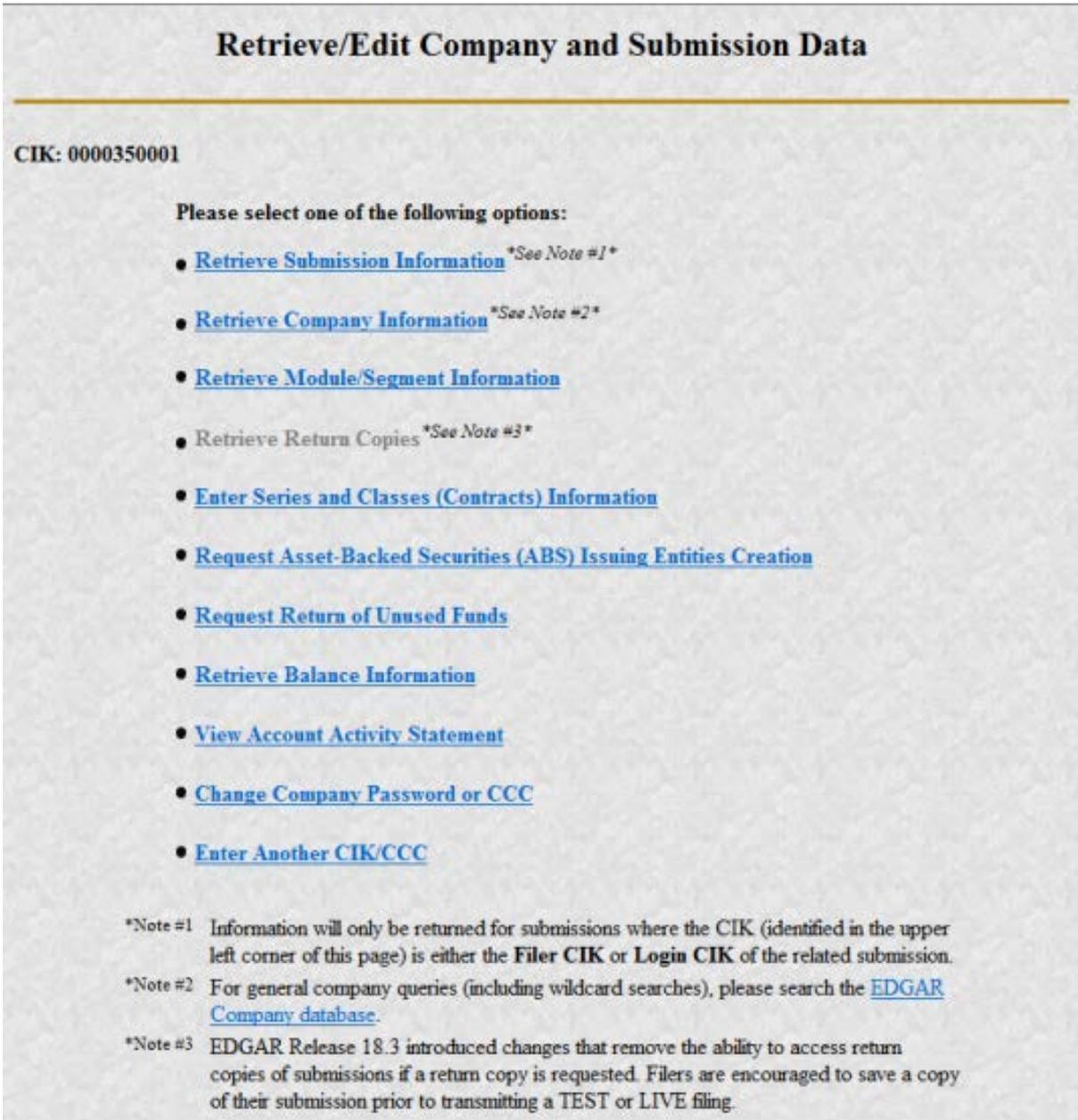


Figure 3-40: Retrieve/Edit Company and Submission Data Page

4. Click 'Request Asset-Backed Securities (ABS) Issuing Entities Creation'. The Add ABS Issuing Entities page appears, as shown in Figure 3-41: Add ABS Issuing Entities Page.

**Add ABS Issuing Entities**

Depositor CIK: 0000000000  
Depositor Company Name: Sample Depositor Inc.

\* indicates required field  
Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.

**Note:** The "Company Name" must be in English! Also, the value that you enter below will be conformed to meet EDGAR standards. Click [here](#) for details.

Company Name\*

**Note:** The E-mail address below is where your confirmation will be sent after submission and review. It is very important that you enter it correctly. To help ensure accuracy, you must enter it twice.

E-mail Address\*

Re-enter E-mail Address\*

**Note:** Your passphrase must be 8 characters long and must contain at least one digit and one of the following characters: @, #, \*, or \$. Please remember the passphrase as you type as the passphrase will not be displayed.

Passphrase\*

Re-enter Passphrase\*

**Figure 3-41: Add ABS Issuing Entities Page**

5. For each Issuing Entity to be created, you must provide the following information:

- Company Name:

**Note:** This "Company Name" must be in English! Also, the value that you enter will be conformed to meet EDGAR standards. These standards can be accessed by clicking on the link in the note above the Company Name field.

- E-mail Address
- Re-enter E-mail Address
- Passphrase

**Note:** Your passphrase must be eight (8) characters long and must contain at least one digit and one of the following characters: @, #, \*, or \$. Please remember the passphrase as you type, as the passphrase will not be displayed.

- Re-enter Passphrase

On this screen, required fields are indicated by an asterisk (\*). If you do not fill in all required fields, you will be prompted with an error upon submission. If you want to cancel the changes, click the [Cancel] button at any time. If you do cancel your request then you will lose all data you entered in the request.

6. Once you have completed the required information you can either add another company by clicking the [Add Another Company] button; or, you can go on to the next step by clicking the [OK] button.
7. When you click the [OK] button the “Request ABS Issuing Entities Creation Information” page will be displayed showing each requested company with its conformed name and e-mail address as shown in Figure 3-42: Request ABS Issuing Entities Creation Information Page

**Request ABS Issuing Entities Creation Information**

Depositor CIK: 0000000000  
 Depositor Company Name: Sample Depositor Inc

**Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.**

**NOTE:** Updated and/or Added information are not saved (submitted) until you Verify and Confirm. To Verify updates, click on the "Verify/Submit" button.

	Conformed Company Name	E-Mail Address
<input type="radio"/>	Sample ABS Trust A	trusta@sampledepositor.com
<input type="radio"/>	Sample ABS Trust B	trustb@sampledepositor.com
<input type="radio"/>	Sample ABS Trust C	trustc@sampledepositor.com

**Figure 3-42: Request ABS Issuing Entities Creation Information Page**

8. From here you can choose to continue to add companies to your request, modify one of your entries that you entered as part of this request, delete one of your entries that you entered as part of this request, print your requested entries, or submit your request. Please note that requested information is not saved until you verify and submit your request. To verify and submit your request, click the [Verify/Submit] button. When you click the [Verify/Submit] button a Request ABS Issuing Entities Creation Confirmation screen will be displayed as shown in Figure 3-43: Request ABS Issuing Entities Creation Confirmation Page.

**Request ABS Issuing Entities Creation Confirmation**

Depositor CIK: 0000000000  
 Depositor Company Name: Sample Depositor Inc

You have requested the Asset-Backed Security companies listed below. Carefully review your changes, then either click on the "Confirm/Submit" to submit your request or click on "Continue Edit" to return to the "Request ABS Issuing Entities Creation Information" screen. **Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.**

	Conformed Company Name	E-Mail Address
	Sample ABS Trust A	trusta@sampledepositor.com
	Sample ABS Trust B	trustb@sampledepositor.com
	Sample ABS Trust C	trustc@sampledepositor.com

**Figure 3-43: Request ABS Issuing Entities Creation Confirmation Page**

- Carefully review your requested information, then either click the [Confirm/Submit] button to submit your request or click the [Continue Edit] button to return to the Request ABS Issuing Entities Creation Information screen.

**Note:** Intentional misstatements or omissions of facts constitute federal criminal violations. See 18 U.S.C.1001.

- When you click the [Confirm/Submit] button, the Request ABS Issuing Entities Creation Result screen will be displayed with the EDGAR accession number of your request displayed as shown in Figure 3-44: Request ABS Issuing Entities Creation Result Page.



**Figure 3-44: Request ABS Issuing Entities Creation Result Page**

- SEC's Branch of Filer Support staff will review your request. They can reject any requested name if it is deemed unacceptable.

Once Filer Support processes your request EDGAR will send a notification message to your e-mail address and to the e-mail address of each requested Issuing Entity. If your request was accepted then the notification message would contain the CIK associated with each requested Issuing Entity name along with instructions on how the Issuing Entities can generate their EDGAR access codes. If your request was rejected then the notification message will contain the reason why your request was rejected. You must re-submit another request to create Asset-Backed Securities Issuing Entities addressing the issue in which the initial request was rejected and including all of the Issuing Entities and associated information that were entered on the initial request.

### **3.5 Examples of Notification Messages**

This section contains examples of the notification messages that EDGAR will send to the applicant/filer in response to a Form ID application, a Convert Paper Only Filer to Electronic Filer request and an EDGAR Access for New Serial Companies request. For each type of submission, examples of both an acceptance message and a rejection message are provided.

These messages will be sent to the e-mail address specified by the requestor or to the filer's e-mail address on record. If they are associated with a valid CIK, they will also be posted to the EDGAR Filing and OnlineForms/XML websites (the rejection message for a Form ID application will never be posted to these websites as a CIK does not exist for the applicant).

**Note:** None of the data contained in these messages is real; it merely represents the type of data that would typically be contained in the message. Do not attempt to use any of this data with the EDGAR system.

### 3.5.1 Form ID Application Messages

THE FOLLOWING SUBMISSION HAS BEEN ACCEPTED BY THE U.S. SECURITIES AND EXCHANGE COMMISSION.

COMPANY: ALLEN TEST & RAIN WATER CO INC  
FORM TYPE: ID-NEWCIK NUMBER OF DOCUMENTS: 1  
RECEIVED DATE: 06-Aug-2004 08:53 ACCEPTED DATE: 06-Aug-2004 08:53  
TEST FILING: NO CONFIRMING COPY: NO

ACCESSION NUMBER: 9999999996-03-001201

FILE NUMBER(S):  
1. None.

PLEASE REFER TO THE ACCESSION NUMBER LISTED ABOVE FOR FUTURE INQUIRIES.

REGISTRANT(S):

1. CIK: 1234567890 new  
COMPANY: ALLEN TEST & RAIN WATER CO INC  
FORM TYPE: ID-NEWCIK  
FILE NUMBER(S):  
1. None.

SUMMARY OF CHANGES:

Your application for access to EDGAR has been accepted. Your CIK is 1234567890.  
Please connect to the EDGAR Form ID URL  
<https://www.filemanagement.edgarfiling.sec.gov>  
to generate EDGAR access codes using your CIK and passphrase.

----- NOTICE -----

URGENT: Verify that all of your addresses on the EDGAR database are correct. An incorrect address in the EDGAR Accounting Contact Name and Address information may result in your Fee Account Activity Statement being returned to the SEC as undeliverable. Please correct outdated addresses via the EDGAR filing website.

The EDGAR system is available to receive and process filings from 6:00 a.m. to 10:00 p.m. Eastern Time on business days. Filer Support staff members are available to respond to requests for assistance from 9:00 a.m. to 5:30 p.m. Eastern Time.

We strongly encourage you to visit the Filing Website at <https://www.edgarfiling.sec.gov>. You can download our current version of the EDGARLink/Windows software and templates, the Filer Manual, receive on-line help, and access Frequently Asked Questions.

Figure 3-45: EDGAR Form ID Application Notification, Accepted

THE FOLLOWING SUBMISSION HAS BEEN REJECTED BY THE U.S. SECURITIES AND EXCHANGE COMMISSION.

COMPANY: ALLEN TEST & RAIN WATER CO INC  
FORM TYPE: ID-NEWCIK NUMBER OF DOCUMENTS: 1  
RECEIVED DATE: 06-Aug-2004 08:53 REJECTED DATE: 06-Aug-2004 08:53  
TEST FILING: NO CONFIRMING COPY: NO

ACCESSION NUMBER: 9999999996-03-001201

FILE NUMBER(S):

1. None.

PLEASE REFER TO THE ACCESSION NUMBER LISTED ABOVE FOR FUTURE INQUIRIES.

REGISTRANT(S):

1. CIK: None  
COMPANY: ALLEN TEST & RAIN WATER CO INC  
FORM TYPE: ID-NEWCIK  
FILE NUMBER(S):
  1. None.

SUMMARY OF CHANGES:

Your application for access to EDGAR has been rejected by the SEC's Office of Filer Support for the following reason:

**Invalid Contact Data**

For further information, contact the SEC's Office of Filer Support at (202) 555-1234.

-----  
NOTICE  
-----

URGENT: Verify that all of your addresses on the EDGAR database are correct. An incorrect address in the EDGAR Accounting Contact Name and Address information may result in your Fee Account Activity Statement being returned to the SEC as undeliverable. Please correct outdated addresses via the EDGAR filing website.

The EDGAR system is available to receive and process filings from 6:00 a.m. to 10:00 p.m. Eastern Time on business days. Filer Support staff members are available to respond to requests for assistance from 9:00 a.m. to 5:30 p.m. Eastern Time.

We strongly encourage you to visit the Filing Website at <https://www.edgarfiling.sec.gov>. You can download our current version of the EDGARLink/Windows software and templates, the Filer Manual, receive on-line help, and access Frequently Asked Questions.

Figure 3-46: EDGAR Form ID Application Notification, Rejected

### 3.5.2 Convert Paper Only Filer to Electronic Filer Request

THE FOLLOWING SUBMISSION HAS BEEN ACCEPTED BY THE U.S. SECURITIES AND EXCHANGE COMMISSION.

COMPANY: Global Geophysical Services Inc  
FORM TYPE: ID-CONVERT NUMBER OF DOCUMENTS: 1  
RECEIVED DATE: 24-Jul-2006 10:16 ACCEPTED DATE: 24-Jul-2006 13:17  
TEST FILING: NO CONFIRMING COPY: NO

ACCESSION NUMBER: 0001311486-06-000001

PLEASE REFER TO THE ACCESSION NUMBER LISTED ABOVE FOR FUTURE INQUIRIES.

REGISTRANT(S):

1. CIK: 0001311486  
COMPANY: Global Geophysical Services Inc  
FORM TYPE: ID-CONVERT

SUMMARY OF CHANGES:

Your request for access to EDGAR has been accepted. Please connect to the EDGAR Filer Management URL  
<https://www.filermanagement.edgarfiling.sec.gov>  
to generate EDGAR access codes using your CIK and passphrase.

After generation of EDGAR access codes, please take a moment to review your information to ensure that it is accurate and up-to-date, particularly your address(es) and, for domestic companies, your IRS number. Companies and individuals may view and update their information using the EDGAR Filer Website (<https://www.edgarfiling.sec.gov>) or the EDGAR OnlineForms Website (<https://www.onlineforms.edgarfiling.sec.gov>). To update, enter company information on the Retrieve/Edit Data - Retrieve Company Information - Edit Company Information page and submit the changes. You must provide the CIK and CCC for that company before you can change any information. If you have questions about how to update your information, please call Filer Support at 202-551-8900.

----- NOTICE -----

URGENT: Verify that all of your addresses on the EDGAR database are correct. An incorrect address in the EDGAR Accounting Contact Name and Address information may result in your fee Account Activity Statement being returned to the SEC as undeliverable. Please correct outdated addresses via the EDGAR filing website.

The EDGAR system is available to receive and process filings from 6:00 a.m. to 10:00 p.m. Eastern Time on business days. Filer Support staff members are available to respond to requests for assistance from 9:00 a.m. to 5:30 p.m. Eastern Time.

We strongly encourage you to visit the Filing Website at <https://www.edgarfiling.sec.gov>. You can download our current version of the EDGARLink/Windows software and templates, the Filer Manual, receive on-line help, and access Frequently Asked Questions.

Figure 3-47: EDGAR Convert to Electronic Filer Notification, Accepted

THE FOLLOWING SUBMISSION HAS BEEN REJECTED BY THE U.S. SECURITIES AND EXCHANGE COMMISSION.

COMPANY: ALLEN TEST & RAIN WATER CO INC  
FORM TYPE: ID-CONVERT NUMBER OF DOCUMENTS: 1  
RECEIVED DATE: 06-Aug-2004 08:53 REJECTED DATE: 06-Aug-2004 08:53  
TEST FILING: NO CONFIRMING COPY: NO

ACCESSION NUMBER: 9999999996-03-001201

FILE NUMBER(S):  
1. None.

PLEASE REFER TO THE ACCESSION NUMBER LISTED ABOVE FOR FUTURE INQUIRIES.

REGISTRANT(S):

1. CIK: 1234567890 existing  
COMPANY: ALLEN TRST & RAIN WATER CO INC  
FORM TYPE: ID-CONVERT  
FILE NUMBER(S):  
1. None.

SUMMARY OF CHANGES:

Your request for access to EDGAR has been rejected by the SEC's Branch of Filer Support for the following reason:

**Duplicate Request**

For further information, contact the SEC's Office of Filer Support at (202) 555-1234.

----- NOTICE -----

URGENT: Verify that all of your addresses on the EDGAR database are correct. An incorrect address in the EDGAR Accounting Contact Name and Address information may result in your Fee Account Activity Statement being returned to the SEC as undeliverable. Please correct outdated addresses via the EDGAR filing website.

The EDGAR system is available to receive and process filings from 6:00 a.m. to 10:00 p.m. Eastern Time on business days. Filer Support staff members are available to respond to requests for assistance from 9:00 a.m. to 5:30 p.m. Eastern Time.

We strongly encourage you to visit the Filing Website at <https://www.edgarfiling.sec.gov>. You can download our current version of the EDGARLink/Windows software and templates, the Filer Manual, receive on-line help, and access Frequently Asked Questions.

Figure 3-48: EDGAR Convert to Electronic Filer Notification, Rejected

### 3.5.3 EDGAR Access for New Serial Companies Request

THE FOLLOWING SUBMISSION HAS BEEN ACCEPTED BY THE U.S. SECURITIES AND EXCHANGE COMMISSION.

COMPANY: ALLEN TEST & RAIN WATER CO INC  
FORM TYPE: **ID-SERIAL** NUMBER OF DOCUMENTS: 1  
RECEIVED DATE: 06-Aug-2004 08:53 ACCEPTED DATE: 06-Aug-2004 08:53  
TEST FILING: NO CONFIRMING COPY: NO

ACCESSION NUMBER: 9999999996-03-001201

FILE NUMBER(S):  
1. None.

PLEASE REFER TO THE ACCESSION NUMBER LISTED ABOVE FOR FUTURE INQUIRIES.

REGISTRANT(S):  
1. CIK: 1234567890 existing  
COMPANY: ALLEN TEST & RAIN WATER CO INC  
FORM TYPE: **ID-SERIAL**  
FILE NUMBER(S):  
1. None.

**SUMMARY OF CHANGES:**

**Your request for access to EDGAR has been accepted.**  
**Please connect to the EDGAR Form ID URL**  
**<https://www.filemanagement.edgarfiling.sec.gov>**  
**to generate EDGAR access codes using your CIK and passphrase.**

----- NOTICE -----

URGENT: Verify that all of your addresses on the EDGAR database are correct. An incorrect address in the EDGAR Accounting Contact Name and Address information may result in your Fee Account Activity Statement being returned to the SEC as undeliverable. Please correct outdated addresses via the EDGAR filing website.

The EDGAR system is available to receive and process filings from 6:00 a.m. to 10:00 p.m. Eastern Time on business days. Filer Support staff members are available to respond to requests for assistance from 9:00 a.m. to 5:30 p.m. Eastern Time.

We strongly encourage you to visit the Filing Website at <https://www.edgarfiling.sec.gov>. You can download our current version of the EDGARLink/Windows software and templates, the Filer Manual, receive on-line help, and access Frequently Asked Questions.

Figure 3-49: EDGAR New Serial Access Notification, Accepted

THE FOLLOWING SUBMISSION HAS BEEN REJECTED BY THE U.S. SECURITIES AND EXCHANGE COMMISSION.

COMPANY: ALLEN TEST & RAIN WATER CO INC  
FORM TYPE: **ID-SERIAL** NUMBER OF DOCUMENTS: 1  
RECEIVED DATE: 06-Aug-2004 08:53 REJECTED DATE: 06-Aug-2004 08:53  
TEST FILING: NO CONFIRMING COPY: NO

ACCESSION NUMBER: 9999999996-03-001201

FILE NUMBER(S):

1. None.

PLEASE REFER TO THE ACCESSION NUMBER LISTED ABOVE FOR FUTURE INQUIRIES.

REGISTRANT(S):

1. CIK: 1234567890 existing  
COMPANY: ALLEN TEST & RAIN WATER CO INC  
FORM TYPE: **ID-SERIAL**  
FILE NUMBER(S):  
1. None.

SUMMARY OF CHANGES:

Your request for access to EDGAR has been rejected by the SEC's Branch of Filer Support for the following reason:

**Other**

**CIK is incorrect (not for a Serial Company)**

For further information, contact the SEC's Office of Filer Support at (202) 555-1234.

----- NOTICE -----

URGENT: Verify that all of your addresses on the EDGAR database are correct. An incorrect address in the EDGAR Accounting Contact Name and Address information may result in your Fee Account Activity Statement being returned to the SEC as undeliverable. Please correct outdated addresses via the EDGAR filing website.

The EDGAR system is available to receive and process filings from 6:00 a.m. to 10:00 p.m. Eastern Time on business days. Filer Support staff members are available to respond to requests for assistance from 9:00 a.m. to 5:30 p.m. Eastern Time.

We strongly encourage you to visit the Filing Website at <https://www.edgarfiling.sec.gov>. You can download our current version of the EDGARLink/Windows software and templates, the Filer Manual, receive on-line help, and access Frequently Asked Questions.

Figure 3-50: EDGAR New Serial Access Notification, Rejected